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ABSTRACT

This guide offers sample administrative procedures and policies that can be used by small colleges and universities to prepare or revise administrative procedures manuals. The sample procedures and policies offered here have been compiled from a review of many manuals from many different institutions, and vary from the general to the specific. Material is presented in six sections: (1) "Billing, Collections, and Cash Management"; (2) "Budgeting and Accounting"; (3) "Employee Benefits"; (4) "Facilities Management"; (5) "Human Resources;" and (6) "Purchasing and General Services." Examples of some of the specific procedures outlined include the following: bookstore transactions; delinquent account collections and bad debt write-offs; monthly payment options and loan plans; budget preparation process; capital budgeting; overhead; travel expenses; employee benefits for independent colleges; health insurance; nondiscrimination rules; parental and adoption leave; retiree and survivor group health insurance; employment termination, retirement benefits; tax-sheltered annuities; construction administration, parking, remodeling and reallocation request; use of campus facilities; affirmation action; conflict of interest; grievance procedure and problem-referral procedure; job classification systems; job posting and job hotline, promotion, sexual harassment; copying and copyrights; independent contractor payments; mail services; printing and graphic services, records management; telecommunication services. (CH)

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PREFACE

Administrative Procedures for Small Institutions, first published in 1985, was conceived and planned to encourage small colleges and universities that do not have manuals to initiate them, to help small institutions that have outdated manuals to update them, and to persuade small institutions that have incomplete manuals to complete them.

Nothing in the sample procedures presented here should be construed as being mandated or required, but rather as being suggested policies that would be helpful. Publication of these policies does not necessarily imply that they are endorsed by NACUBO.

Institutions are encouraged to pick and choose the procedures that fit their institution's needs and to modify those presented to conform to local policies, procedures, or conditions. The manual is divided into six sections:

- Billing, Collections, and Cash Management
- Budgeting and Accounting
- Employee Benefits
- Facilities Management
- Human Resources
- Purchasing and General Services

The policies in each section are listed in the drop down box to the right of the section title. To view a policy, simply select title of the particular policy and click on the "Go" button. To print the selected policy, simply choose print from the file menu. To download a chapter, choose this option and follow the instructions. To peruse the policies of another section, simply click on the section title as it appears to the right of the text.

The many colleges that have procedural manuals find them of immense value to new employees, for employees with longer service who may need to refer to policies and procedures on occasion, and for those who need "proof" that policies and procedures do indeed exist.

The procedures presented here originated from review of many manuals from different institutions and vary considerably from the general to the specific. They are offered as useful, practical examples that certain institutions have found applicable to their own environment.

Just as an institution may not find every procedure presented here applicable to its particular situation, so too the placement of these procedures in the various sections may not be appropriate for everyone. Each institution should determine how best to organize the materials for its own procedures manual.

There is no assurance that any particular procedure included here will work at an institution other than the one where it originated. This manual simply provides a starting point, and it is hoped, a time saver for those institutions that need to produce a manual or to revise an existing one.

ACKNOWLEDGMENTS

The editor of this manual wishes to thank everyone who helped with its compilation, including various business officers of colleges and universities, members of NACUBO's Small Colleges and Minority Institutions Committee, and staff members of NACUBO's Communications Department.

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Numerous colleges and universities provided examples of their policies and administrative procedures. We extend our thanks to all of these institutions, but especially to the following, whose materials were adapted for this manual:

Baldwin-Wallace College
Bryn Mawr College
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Loyola College in Maryland
Loyola Marymount University
Moravian College
Rollins College
St. Edward's University
Stanford University
Trinity University
University of California, San Francisco
Worcester Polytechnic Institute

BILLING, COLLECTIONS, AND CASH MANAGEMENT

Introduction

Cash flow patterns for higher education institutions typically reflect deep fluctuations in balances available for spending and short-term investing. While expenditures may be relatively steady throughout the year, tuition and other student fee collections are concentrated at the beginning of each academic term, and gifts are usually heavy at the end of the calendar and fiscal years. While billing, collections, and cash forecasting and investing are important management responsibilities in any organization, the unusual pattern in higher education requires extra care and concern by financial managers in colleges and universities.

Student fee collection practices range from requiring payment as part of the registration process to sending revolving credit billings to the students' or parents' homes. In between are a variety of formalized deferred payment arrangements and monthly payment plans. This section includes a variety of such policies from independent and public two- and four-year colleges and universities.

The awarding of student financial aid on the basis of either financial need or academic merit is a specialized responsibility typically found outside the business and finance area. It is a business and finance responsibility, however, to credit such awards to students' accounts or to provide cash payments. In addition, many institutions facilitate the processing and handling of loan plans, government or private, that are unrelated to documented family need. Some of the billing policy statements included here reference these matters.

With fees assessed at the beginning of an academic term, the matter of cancellations and refunds for students who drop out during the term becomes an issue. If the institution is operating at capacity, such students will have occupied places that cannot, in mid-term, be filled by applicants who were not admitted. For this reason, education finance officers have long believed that a full pro rata refund was not appropriate. However, institutions receiving federal student aid funds have lost much of their discretion over refund policy and must provide refund schedules at least as generous as federal regulations specify.

A recently developing area of much interest is electronic use of campus identification cards for a variety of financial transactions and for admission to specialized facilities or events. Such use of cards often developed in the food service area and is now spreading throughout the campus, even for use of vending machines, copiers, washers and dryers, video games, and computer services. Policies concerning use of both debit and credit cards for students and for employees appear in this section.

Other matters covered are bad-debt write-off policies, check cashing, miscellaneous accounts (nonstudent receivables), and off-campus tours.

Billing Procedures for Students (1)

To assist you in planning the financial aspects of the upcoming academic year, we are furnishing you with an explanation of the Business Office procedures for billing and collecting fees, a billing calendar, the semester schedule of tuition and fees as of this date, and an explanation of the charges and credits that will appear on your student bills throughout the year. For your reference, a sample student statement and an annualized schedule of tuition and fees are attached to this packet.

BILLING CALENDAR

Fall Semester

August 1: Statements are mailed

August 20: Payment due in the Business Office

Spring Semester (following year)

December 15: Statements are mailed

January 10: Payment due in the Business Office

Semester Schedule of Fees

The following will appear on every student's fall statement:

Tuition–Fall:	$7,000.00
Comprehensive Fee–Fall:	$130.00
*Fall Orientation Fee:	$115.00

* One-time charge

Resident students will be charged the following:

	Main Student Halls	Other Student Halls	
Room Fee–Fall:		$1,915.00	$2,040.00
Resident Services–Fall:	$125.00	$125.00	
*Dorm Damage Deposit:	$45.00	$45.00	

* One-time charge

In addition, Resident Students will be charged one of the following for their meal plan according to which level was selected:

Platinum	$1,400.00
Gold	$1,265.00
Silver	$1,100.00

Monthly Bills

If an account is paid in full, there will be no further bills sent from the Business Office until additional charges are added to the account. If, however, a balance exists on the student's account due to unpaid charges, additional charges, or an underbudgeted payment plan, you will continue to receive a bill each month.

Late Payment Fee

An additional charge of 1.5 percent per month on the unpaid balance will be added if payment is not received in the Business Office on or before the due date and on the unpaid balance of each succeeding month throughout the semester.

One exception to the late payment fee is any amount contracted for but not yet received by the college from the TMS or AMS tuition payment plans. Future payments anticipated for current semester charges are not subject to this 1.5 percent fee. However, late payments to TMS or AMS are subject to the fee.

Financial Holds

The college will not issue transcripts and reserves the right to withhold grades, diplomas, subsequent registrations, housing assignments, etc., for any student whose account has an outstanding balance. Please keep this in mind, and if at any time you anticipate a problem in meeting your financial obligation to the college, call us at the Business Office as early as possible. The more time we have to make other arrangements with you, the better we will be able to assist you.

Fees and General Regulations

Full-time students may take from four to six courses in each fall and spring semester for the same tuition and related fees. Courses in excess of six (including course-related labs) will be charged additional tuition on a per credit basis. Please refer to the School's undergraduate catalog regarding a more detailed explanation of tuition charges.

Tuition and Room Deposits

All students, upon notice of acceptance, are required to deposit $100 as an advance payment toward the tuition of their first semester. The newly accepted resident student is required to deposit the tuition advance, plus an additional $400 to reserve a room for the fall semester. Both deposits are applied to the fall semester charges. The tuition and dormitory deposits are non-refundable.

When planning for next semester, please be aware that all enrolled students who desire room assignments for the following fall semester must make a dorm deposit in the amount of $300 in March of each year. This advance deposit is applied to the fall semester charges and is nonrefundable.

Billing Procedures for Students (2)

Tuition, room, and board charges for the fall term are due September 15, for the winter term January 10, and for the spring term April 5. Miscellaneous charges, billed monthly, are due on the dates specified on the billing statements, which are approximately 25 days after billing.

The finance charge for late payment is at a rate of 1.33 percent monthly, 16 percent annually, and it is charged on all balances not paid by the payment due date shown on each billing statement. Specified minimum payments are required. Each term's charges must be paid in full by the end of that term to prevent cancellation of enrollment for the following term.

Students, both full-time and part-time, who have financial need should apply for financial aid. Contact our Financial Aid Office for full information and application forms. They require a new application each year. Do not neglect this paperwork if you think you are eligible. Early filers will avoid problems with deadlines. Financial aid awards usually contain some combination of government and private grants and loans and campus work-study job wages.

If you do receive financial aid, we will credit grant and loan assistance directly to your college bills. To receive credits for government grants, you must supply the Financial Aid Office with the appropriate eligibility certificates. For Federal Perkins Loan advances, you must sign the promissory note and required documents at the College's Student Loan Office in Main Hall Room 121 during the first week of each quarter. The Financial Aid Office will contact you by mail to endorse Federal Stafford Student Loan checks for loans not remitted electronically.

If the financial aid award includes work-study wages, it is the student's responsibility to secure a campus job through the Student Employment Center. We will pay work-study job wages to the student by check when wages are actually earned. The student may also authorize, in writing at the Cashier's window, direct credit of work-student earnings to your college bills.

Please remember that you are responsible for all costs not covered by financial aid.

We will bill all registered full-time day students for one year's accident and health medical insurance at the beginning of the fall term. This coverage is voluntary. If you do not need it, you must sign and return a waiver form we provide by the waiver due date, and we will remove the charge. Students may incur other minor miscellaneous charges. We include these items on our monthly billing statements.

The Cashier's window, in the Main Administration Building, is open weekdays between 9 a.m. and 4:30 p.m. For the convenience of evening students, the Cashier's window will also be open evenings for the first three days of each quarter. There is also a 24-hour depository available throughout the year for payments or other documents. It is located on the south porch of Main.

BOOKSTORE TRANSACTIONS

Students, faculty, and staff may charge their purchases to Visa, MasterCard, or American Express. The minimum charge is $10. Checks are accepted for purchases of $5 or more. Up to $20 above the purchase amount may be cashed if money is available.

Departments may charge on a department account with the appropriate budget number. These charges will be settled by a journal entry.

Discounts

Faculty and staff receive a 10 percent discount on supplies, gifts, and clothes at the Bookstore.

Departments receive a 20 percent discount on supplies, clothes, and gifts.

Security

All efforts will be made to reduce the opportunity for shoplifting. The Bookstore will enforce the rule that personal bags and books must be left outside the store at all times. Lockers are provided for this purpose.

CAMPUS CARD USE AND BILLING (STUDENTS)

The Campus Card is the student's pass to campuswide privileges, providing maximum security and ease of use.

The Campus Card is an electronically readable, multiple-use photo ID, issued to students free of charge. It is the official means of identification for students attending the college, and it gives access to a wide variety of facilities, activities, and services, such as the following:

- Center for Art and Drama
- Computer Laboratories
- Counseling Center
- College Stadium
- Student Activities Center
- Student Elections
- Musical Arts Building
- Recreation Center
- College Library
- Health Center
- Access to buildings: The card allows access to selected buildings. The Campus Card is read through an electronic security-door reader, which only allows authorized people to enter the building.

If an account is opened on the Campus Card, it can be used to make purchases at the following locations:

- Dining Services
- General Store
- Bookstore
- Game Room
- Service Desk
- Selected vending machines

All registered students may obtain a Campus Card through the Campus Card Office located on the main floor of the college Union. Student ID photos are taken during the scheduled registrations, during special posted hours at the beginning of each quarter, and during regular business hours. Special appointments may be arranged for groups or individuals on request.

Resident Students

Resident students automatically receive a food account and a bookstore/miscellaneous account. The Campus Card is credited with a designated dollar amount each quarter, which is distributed between the two accounts. The total amount is billed to the student's billing account.

The designated funds are accessed via the Campus Card for on-campus purchases. When the card is passed through an electronic reader, the appropriate account is assessed and the purchase amount is electronically deducted. The account balance is displayed each time a purchase is made.

The funds in the food account, with some exceptions, are for purchases in the food service dining areas only. The funds in the bookstore/miscellaneous account are for purchases in all areas, including food service dining areas. Food purchases will automatically default to the bookstore/miscellaneous account if food account funds are insufficient to cover a transaction.

Additional deposits may be made to the bookstore/miscellaneous account at any time during the quarter. To do so, students must obtain an approval slip at the Cashier's Office and take it to the Campus Card Office. The amount selected will be deposited immediately to the account and billed to the student's billing account.

At the end of fall and winter quarters, any remaining balance over one dollar in the food account will be credited to the student's billing account. Any remaining balance in the bookstore/miscellaneous account will be carried over and will be accessible between quarters. At the end of the school year, or when the student leaves the College, any remaining balance over one dollar, in either the food or bookstore/miscellaneous account, will be credited to the student's billing account.

Commuter Students

Commuter students may choose to open a Campus Card account with an initial $25 or more. The account's funds are accessed via the Campus Card for purchases on campus. The account balance is accessible at all times. Any balance remaining over one dollar is credited to the student's billing account at the end of the school year or when the student leaves the college. Additional deposits may be made at any time.

There are two ways to open or to add to a Campus Card account:

1. By mail: Use the attached mailer. Once received and approved, the amount indicated will be deposited into the Campus Card account and billed to the student's billing account.

2. In person: Obtain an approval slip at the Cashier's Office and bring the approval slip to the Campus Card Office. The amount selected will be deposited into the card's account and billed to the student's billing account.

Additional Information

- Students may have a Campus Card account during the summer sessions.
- The card's transactions can be viewed and a statement report can be printed, by request, at the Campus Card Office.
- The Campus Card is the property of the college and has been issued for the student's use only. It is non-transferable. Lending the card to anyone or possessing another person's card is a violation of college regulations and will result in confiscation of the card and possible loss of privileges. The college is not responsible for any loss, theft, or misuse of the card. It is the student's responsibility and should be carried by the student at all times.
- A lost or stolen card should be reported immediately, by phone or in person to either the Campus Card Office, the Security Office, or the Food Services Office. When the loss is reported, the card will be deactivated immediately. If the student finds his or her card and needs it reactivated, or needs a replacement card, the student must go to the Campus Card Office in person. A fee is charged for a replacement card. Once a replacement card is requested, the lost card is invalid, even if found.

Questions, suggestions, or any information needed regarding the Campus Card may be directed to the Campus Card Office.

[Form A]

CAMPUS CARD FUNDS DEPOSIT FORM
Print Clearly

_____ Social Security #:_____
Last Name First Name Middle Initial

Permanent Address: _____ Telephone (___)_____
Street Apt.# City State Zip

Check one:____Resident (in residence hall) ____Commuter (minimum deposit $25)

I understand that the dollar amount chosen will be deposited into my campus card account which is accessed via my campus card. My student billing account will be billed for the amount chosen. I agree to be bound by the terms and conditions of my student billing account statement.

Amount of Deposit $_____ Signature_____ Date_____

Office use only: Receive date_____Deposit date_____
Depositor_____
Cashier appr. of "additional" deposit_____ Key #_____

Campus Card Use and Billing (Employees)

INTRODUCTION

The college Campus ID Card has been established for employees. It is an entitlement available to all qualified employees. The employee has the option of establishing a debit or credit relationship with the college.

The following is a brief description of how and what the Campus ID Cards are and how they are established for the employee.

At the time of original issue of the Campus ID Card, the employee decides if the card will be used as a debit or credit card and signs the agreement form in the ap-propriate place for the card type chosen.

GENERAL RULES

1. The employee must be 18 years of age or over at the time the card is issued.

2. The employee must have been employed in a permanent position for at least three months at the college in order to receive credit.

3. The debit card is available to all employees.

DEBIT ACCOUNT

An employee deposits an amount (minimum of $50 on the initial deposit-; additional amounts may be added at any time in increments of $25 for each subsequent cash deposit) with the Cashier's Office. The employee is then given an Campus ID Card form that reflects the receipt of the funds and serves as notice to the College ID Office that the funds have been paid. The Campus ID Card form is then delivered to the ID office for the cash credit to be applied to the Campus ID Card Account. The ID Office then electronically makes that amount available (or adds to a current amount already on deposit) to the Campus ID Card account. The employee's card is then able to be used for services or purchases on campus.

There are no finance charges assessed to this type of account.

TO QUALIFY FOR CREDIT AND OTHER REGULATIONS

1. The employee credit limits established are:

   Full-time: $200

   Part-time: $100

2. Other employees are not entitled to participate in the Campus ID Card program unless special arrange ment is made with the Bursar.

3. Finance charges are assessed on all accounts with a past due balance, based on monthly billings at an interest rate that is established by the college (published on each account statement).

4. Each employee's Campus ID Card credit account is established with a maximum credit limit. Additional credit may be extended to the employee upon the submission of a formal credit application and review of a personal credit report by the Bursar. The Bursar and Vice President for Finance must approve all increases to employee credit limits in excess of those established above.

5. All open credit-account balances are due, in full, at the time of termination of employment at the college (regardless of the reason for the termination of employment).

CREDIT ACCOUNT

The employee, when qualified and upon written application, is given a line of credit by the ID office. The employee is then free to use up to the established credit limit for services and purchases throughout the campus. The amount charged is then transferred monthly to an open miscellaneous account receivable (MARS) for that employee and is billed by the Cashier's Office accordingly. Account payment is expected within the next 30 days of receipt of the MARS billing statement.

Finance charges are assessed at the current interest rate to all accounts that have past due balances shown on the monthly statements.

DELINQUENCY AND COLLECTIONS

Delinquency

An account is delinquent when any portion of the balance of the MARS account is past due or, at any time, exceeds the established credit limit for that employee.

Credit Suspension

A delinquent account will have privileges temporarily suspended for the period of time that the account is in a delinquent status. A notice of suspension of credit will be sent to the employee approximately 10 days prior to the actual suspension or stopping of credit privileges. This notice is expected to eliminate the chance of embarrassment to employees attempting to use their card while under temporary suspension.

Default

An account is considered in default when the past due balance (or any portion of the total amount due) is delinquent for more than six months according to the MARS aging report. All credit card privileges will be revoked until the account is fully resolved. "Revocation of credit" notices will be sent to an employee at the beginning of the month when the account first defaults. Accounts that have defaulted will be revoked by the 15th of the current month, each month.

Credit Revocation

When an employee's account has been revoked due to default status, the defaulted account will be forwarded to the Bursar for review and personal attention in the collection efforts. The employee may be contacted by letter, telephone, or personal visit.

Attempts will be made to resolve the employee's delinquency or default voluntarily and to establish a definitive payment plan or, in the alternative, establish a payroll deduction plan designed to liquidate the obligation in the shortest possible time.

Any employee in default for more than 12 months will have unilateral payroll deduction action taken, with the approval of the Vice President for Finance.

Restoration of Credit Privileges

If an employee's credit privileges have been suspended, they can be restored by full payment of the delinquent amount and by a written request for reinstatement sent to the Bursar's Office.

Once an employee's credit privileges have been revoked, they can be restored only by appeal to the Bursar. Employees who are denied credit privileges will only be permitted to use the debit card.

Appeals: Special Consideration

Requests for restoration of credit privileges, because of special circumstances, cannot be processed without the employee's submission of a completed credit application, a written statement outlining the reason for the request for special consideration, including the reasons for the previous default and a review of a current credit report. The restoration of credit privileges will be at the discretion of the Bursar and Vice President for Finance. Their decision will be final.

Cash Management

The goal of these procedures is to provide for the safe handling of all cash receipts and the prompt investment of cash balances into appropriate securities and funds.

The mailers used for the student billings and miscellaneous billings contain return envelopes addressed to the branch bank that handles the School's operating bank account. The bank provides a "lock box" service for the college, receiving and depositing these payments into the operating account. Each morning, between 9 a.m. and 10 a.m., a college employee picks up the remittance advice portions of the bills and the bank's deposit ticket and delivers these items to the Bursar's Office for balancing and recording.

Most on-campus payments of bills and miscellaneous items are made at the Cashier's Window, where receipts are prepared and issued to the payers for every transaction. Significant amounts of cash are also received at the Bookstore, Food Service, Health Center, and, at certain times, the Athletic Office and Theater Box Office. Smaller sums of money may be received in many other campus offices.

The Cashier's Office is responsible for preparing a bank deposit of all receipts daily. Officers from Safety and Security will pick up receipts from other locations between 1 p.m. and 3 p.m., and take them to the Cashier's Office. Locked bags and appropriate remittance reports are used for this purpose. Officers from Safety and Security take the combined deposit prepared by the cashiers to the local bank branch around 5 p.m. and place it in the night depository.

To facilitate investing, all cash, except endowment, is consolidated into one demand deposit account. The requirements of fund accounting are met with interfund receivable and payable entries and accounts. Payroll checks are written on separate bank accounts, but the funds to cover net pay are transferred from the operating account on payday.

The Controller is responsible for investments, excluding endowment. The emphasis is on liquidity and safety with a reasonable return. Approved investment vehicles are the Common Fund Short Term Fund, similar funds offered by local banks, and local bank certificates of deposit. The Controller is to determine daily the amount to be invested by calling the bank for the available balance and evaluating the day's disbursement needs. Investments and redemptions or withdrawals are done by electronic means.

Check Cashing

The Business Office has funds available to cash checks for currently employed faculty, staff, and enrolled students.

Checks may be cashed between 8:30 a.m. and 3:30 p.m., Monday through Friday, subject to the following limitations and events:

- Personal checks are limited to one $50 per person check, per day. University payroll checks exceeding $100 cannot be cashed.
- Coin change is available with a $2 per day limit.
- A current valid University identification card is required.
- No second-party checks will be accepted unless from a student's parents or guardians.
- A $25 charge for any check returned by the bank for any reason will be invoked.
- Check-cashing privileges will be revoked under the following circumstances:

  Faculty/Staff: If three or more checks are returned, the privilege will be denied permanently.

  Students: If one check is returned, the privilege will be denied for the semester. If three or more are returned, the privilege will be denied during the student's entire undergraduate enrollment at the college/university.

  All Employees: Upon notification of termination from Personnel Services, check-cashing privileges will be denied during the final two weeks of employment.

- There is no check-cashing activity during published registration periods.
- Special hours will be posted for half-days due to approved holidays or special events.

Credit Line for Students (Community College)

PAYMENTS

The option of payment in full always exists, or partial payments can be made as described below:

1 . A student's account balance shall be paid in full if sufficient funds are available from, or upon receipt of, financial aid funds from any source.

2. An account balance may be paid in full before the College's last business day of the month, saving finance charges to the student.

3. For in-state students, the required monthly payment will be one-half of the current month's account balance (rounded up to the next whole dollar amount) with a minimum monthly payment of $80. For out-of-state and foreign students, the required monthly payment will be the total of the current month's account balance.

4. Payments must be received in sufficient time for posting to your account on or before the College's last business day of the month.

a. *Payment by Mail.* Make checks payable to the College. Be sure your student number (social security or assigned number) is on the check. Allow enough time to ensure postal delivery before the College's last business day of the month.

b. *Payment by VISA/MasterCard.* VISA or MasterCard will be accepted for payment in full of your account. Complete the requested VISA/MasterCard information on the detachable remittance portion of your billing statement and mail it to the credit-line address. Allow enough time to ensure postal delivery before the School's last business day of the month. Charges to the bank card are subject to receipts of an authorization from the banking institution.

c. *Payment by Cash.* Cash payments can be made during business hours at Financial Services, the Downtown Center, and the Area Center.

(1) Payments and credits made at Financial Services on the main campus or at the Downtown Center are posted as of the date they are received or issued.

(2) Payments made and credits issued at the North Center and South Center must be received or made at those locations a minimum of five business days before the School's last business day of the month.

Payments and credits are allocated to the oldest amount owed.

FINANCE CHARGES

Any account balance greater than zero on the School's last business day of the month, as a result of charges made prior to the last seven days in the month, will be assessed a finance charge on the average daily balance of the account (excluding any registration charges made during the last seven days of the month) at a periodic rate of 1 percent per month (annual rate of 12 percent).

The average daily balance is the sum of the amounts owed on each day of the billing period, divided by the number of days in the previous billing period. The amount owed on each day's balance is the amount owed at the end of the previous day, plus any charges, excluding any unpaid finance charges from a previous billing period. Returned checks, or bank card payment fees and late payment charges, less any payments and credits made to the account that day are also included. A minimum monthly finance charge of $1 will be assessed.

If the account balance is greater than zero on the School's last business day of the month, as a result of registration charges made during the last seven days in the month, there will be no finance charges assessed for that billing period. If these charges are unpaid at the end of the next billing period, finance charges will be assessed as per the preceding paragraph.

LATE PAYMENT CHARGES

If the required payment is not received within the next consecutive billing period, a late payment charge of $5 will be assessed each month thereafter (to a maximum of $25) until the required payment is made.

FAILURE TO PAY

If payment is not made on time, the College can require immediate payment of the entire balance, including finance charges, and late payment charges. The College will refer the account to an outside collection agency and report the status of the account to a credit reporting service. If the account is placed in the hands of an attorney and/or collection agency, collection and court costs will be added to your account.

RETURNED CHECKS OR BANK CARD PAYMENTS

If any check or bank card payment tendered to the College is returned unpaid by the bank, the amount of the check or bank card payment, plus a reasonable returned check or bank card payment fee, will be assessed and added to your account.

ACCOUNT TERMINATION/SUSPENSION

The College has the right without prior notice to stop or suspend the extension of credit and to withhold services and registration for classes and workshops if required minimum monthly payments are not made on time.

CREDIT LIMITS

The College will establish a credit limit on the account and may raise or lower that limit at any time without prior notice.

GRADES AND TRANSCRIPTS

The College has the option of withholding grade reports, transcripts, and other certificates and certifications if an account is in a delinquent status.

CHANGES IN THE TERMS

The College may change the terms of this agreement at any time. Notice will be made in advance of any such changes, as required by law. Any changes will be applied to any existing account balance and to future charges.

CREDIT REPORTS

The College may obtain information about students from credit reporting agencies and other creditors as permitted by law. Credit information so obtained will be used in the School's own credit operation and for forwarding information about students' accounts to other credit reporting agencies and to other creditors

Delinquent Account Collections and Bad Debt Write-offs (1)

STUDENT ACCOUNTS

During the course of the semester or year, students may incur additional fees, fines, or assessments that must be paid in full at the time they are billed.

When an account becomes delinquent, the following steps are taken:

- An overdue notice is sent to the student.
- A hold is placed on the student's transcript.
- The student is barred from registration for a subsequent term.
- The bad debt is referred to a collection agency.

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STUDENT LOANS

The University administers the following loan programs:

- Family Loan (institutional)
- Perkins Loan (federal)
- Emergency Short-Term Loan (institutional)

Each of these programs has its own specific due diligence procedures; however, delinquent accounts are basically handled as noted in the section above.

Bad Debt Write-Offs

Bad debts, as determined by the Comptroller, are handled as follows:

STUDENT ACCOUNTS

- Amounts under $50 are written off by Director of Student Accounts and turned over for collection.
- Amounts over $50 must be approved by the Comptroller.

LOANS

- Perkins Loans are written off according to federal regulations.
- Family Loans are written off after approval by the Family Loan Committee.
- Short-Term Loans are written off with the Comptroller's approval.

OTHERS

- Other University receivables are written off as determined by the Comptroller, with the approval of the Vice President for Fiscal Affairs.

An annual report is made to the Vice President for Fiscal Affairs showing details of all write-offs made during the year, regardless of amount. A cumulative listing of written-off accounts is maintained by the Directors of Student Accounts and Student Loans.

Delinquent Account Collections and Bad Debt Write-Offs (2)

ENROLLED STUDENTS

Registration occurs approximately in midterm for the following term. Students with delinquent balances over $500, and the parents of such dependent students, receive a letter advising them that registration for the following term is conditional. The letter also reviews financial aid procedures and offers assistance to students needing special arrangements. If the college does not receive full payment of the delinquent balance by the end of the term (a specific date is given), it will cancel the registration for the following term, along with applicable housing and meal contracts. A student paying in full after the cancellation would have to re-register, risking the loss of closed classes and room assignment.

Students who do not pay delinquent balances or do not make special arrangements by the due date receive a cancellation notice. It repeats the statement that they can reregister after paying in full, subject to availability of open classes. They would also have to obtain new room assignments from the Housing Office.

Students who are about to graduate with delinquent balances receive a notice that they must pay or make satisfactory payment arrangements (usually by signing a promissory note) to participate in commencement and to obtain transcripts.

NONENROLLED STUDENTS

Students who leave the college owing a balance and without making payment arrangements receive a computer-generated collection letter approximately 30 days after the start of the first term, for which they are not registered. It asks for immediate payment or the making of payment arrangements.

A series of six additional computer-generated collection letters may follow, each depending on the student's response to date. This process can take up to six months. The later letters warn of collection agency involvement or legal action. The last one is a ***"final notice"*** letter indicating that the account is being given to an outside collection agency.

The College utilizes several collection agencies, with one being designated for all collection lawsuits. The College monitors the performance of the agencies and insists on strict compliance with the standards of the Fair Debt Collection Practices Act. Collection agency activity, if unsuccessful, can take up to nine months before the account is closed with the agency and returned to the College.

The College holds closed accounts for about three months and then refers those thought to hold some prospect of payment to a second agency. Accounts not so referred, and accounts returned by the second agency, are written off to the allowance for uncollectible accounts. The Bursar initiates such write-offs, and the Vice President for Finance must approve them.

The College maintains records of accounts written off, and will reinstate collection activity if the former student requests transcripts or any other college service, or, if new credit reports or other information become available.

The accounting for payments remitted by collection agencies credits the student's account for the full amount of the payment and debits collection expense (not the allowance for uncollectible accounts) for the agency's fee. The fees generally run 33.3 percent on first referrals and 50 percent on second referrals.

MISCELLANEOUS ACCOUNTS RECEIVABLE

The Miscellaneous Accounts Receivable System (MARS) is used to bill for the following services which may not involve regularly enrolled students: seminars and training programs, COBRA employee benefits, Food Service catering, building rentals, summer conferences, athletic program advertising, and personal or outside printing services.

The Bursar's Office maintains the MARS. High-volume user offices enter transactions directly into the computer file. Those offices are responsible for input accuracy and for balancing the data. They transmit input totals manually to the Bursar, who is responsible for overall file balancing and integrity. Low-volume users may manually submit prepared documents to the Bursar for data entry.

The Bursar's Office is responsible for preparing and mailing monthly statements, receiving and recording payments, and delinquent account collections. The Bursar shall use outside collection agencies and attorneys as necessary.

Monthly Payment Options and Loan Plans

A number of financial services companies provide alternative payment arrangements for any student who desires them. You do not have to be receiving financial aid to use these services. Each year the College provides information and application forms from two or three selected companies for your convenience. In the coming months, you will receive information about monthly payment plans from Ace Management Systems, College Resource Group, and Tuition Management Services. We do not assess the School's finance charge to persons in good standing in these plans. Please contact the Cashier's Office if you want more information.

LOAN PLANS

Certain student loans guaranteed by the federal government are available to all families, regardless of their income or asset status. Students may be eligible for a Federal Subsidized or Unsubsidized Stafford Loan depending on the results of their free application for federal student aid (FAFSA). Dependent freshman stu-

dents may receive up to $2,625 in Stafford Loan assistance, sophomores may receive a maximum of $3,500, and juniors and seniors may receive a maximum of $5,500. Self–supporting freshman and sophomore students may receive up to another $4,000 in Federal Unsubsidized Stafford Loans, self-supporting juniors and seniors may receive an additional $5,000 in unsubsidized loans.

Currently the variable interest rate on the Stafford Loan is 8.25 percent, with a maximum interest cap of 8.25 percent. The student has up to 10 years to make repayment on Stafford Loans, depending on the total amount borrowed. No payment on the Stafford Loans is required while the student is enrolled at least half-time in a degree-seeking program. Students also have a six-month grace period after leaving the College before loan payments are required. The College has electronic funds transfer (EFT) capability through the Regional Higher Education Corporation with various lenders. Please contact the Financial Aid Office with regard to the appropriate lender codes in order to take advantage of EFT account benefits.

Federal PLUS Loans are available to parents of dependent students for amounts up to the cost of education, less the eligibility amount for any other forms of financial assistance. Federal PLUS Loans are unsubsidized, with a current variable interest rate of 8.98 percent and with a cap of 9 percent. Unlike the federal Stafford Loan program, PLUS Loans cannot be deferred while the student is enrolled. Minimum payments are $50 per month.

Alternative nonfederal educational loans are also available through a number of lenders at competitive interest rates. Interested students may contact the Financial Aid Office for information regarding alternative student loan programs.

Payments by Students at Registration (State College)

PREFACE

It is the policy of the institution that all registration and housing/food service fees are due and payable on registration day. However, the institution recognizes that financial emergency may occasionally make it difficult for the student to tender payment in full on registration day. Therefore, students who have no delinquent accounts with the College, nor have defaulted on any previous financial obligations incurred at the College, are given special consideration and may be permitted, at the discretion of the Financial Vice President or designee, to defer payment of fees.

POLICY

Students allowed to defer payment of fees will be assessed an administrative service charge, based upon the amount deferred, as follows:

Amount Deferred	Service Charge
up to $100	$5.00
from $101–300	$10.00
over $300	$15.00

Any delinquent installments will be assessed a $10 late charge.

All deferred agreements will be evidenced by a signed promissory note, a copy of which shall be presented to the cashier at the time of the initial payment. Failure to comply with the terms of the deferred agreement may result in the following actions:

1. All grade reports will be retained by the College.
2. The student will not receive a transcript.
3. The student will not be permitted to register for a subsequent semester until all financial obligations are paid in full.
4. All future deferred payment privileges may be revoked.

Once a student's records have been retained for nonpayment of fees, reinstatement will require submission of a $50 administrative charge. Should it become necessary to employ the services of a collection agency, all collection costs will be added to the outstanding obligation.

The following conditions apply to all requests for deferment of fees:

Registration Fees and Tuition

1. At least 40 percent of fees and tuition, in addition to the service charge specified above, must be paid at the time of registration. Student aid may be used to satisfy this requirement.

2. *Academic Students*—The deferred balance is payable in two equal installments, which are due on October 5 and November 5 for the fall semester and February 10 and March 10 for the spring semester. If the due date occurs on a weekend, the payment will be due on the following Monday.

3. *Vocational Students*—The deferred balance is payable in two equal installments according to the following schedule:

Session	First Payment	Second Payment
1	Sept. 15	Oct. 15
2	Nov. 5	Dec. 5
3	Feb. 5	Mar. 5
4	Apr. 5	May 5

4. Any student aid received by the student for the purpose of registration and fees is deducted from fees to be assessed. If the student aid is insufficient to pay fees in full, the balance may be deferred if the 40 percent requirement has been satisfied.

5. If a student who owes a deferred payment withdraws from school, the difference between the portion of charges that would normally be refundable, if any, and the amount paid on the deferred payment plan becomes immediately due and payable in full.

6. All outstanding obligations from a previous session must be paid before registration of the current session will be permitted.

7. The emergency short-term loan fund is inadequate to provide funds for use by students to pay their registration fees. Therefore, it generally will not be available as a source of funding for this purpose.

8. If a student does not pay all fees on registration day or make arrangements for deferment, he or she will be given a period of 10 days from the specified date of registration to tender payment or make other arrangements. A late registration fee of $50 will be assessed for registration beyond this period.

Housing and Food Service

1. Housing fees must be paid in full on registration day. At least 30 percent of the food service fees, in addition to the service charge specified above, must also be paid at the time of registration.

2. The deferred balance is payable in two equal installments due on October 1 and November 1 for the fall semester and February 1 and March 1 for the spring semester. If the due date occurs on a weekend, the payment will be due on the following Monday. Meal tickets will be issued at the time the installments are paid.

3. Housing fees are nonrefundable. If a student moves out of the dormitory, a refund will be granted in an amount equal to the value of the meals not yet consumed.

Refunds to Students (Community College)

SCOPE

Instructional fees will be returned to students according to the guidelines established for credit courses, noncredit courses, workshops, and seminars.

This policy does not include distributions from financial assistance programs. Distributions of this nature will be made in accordance with established disbursement procedures. 23

CREDIT COURSES

To receive a refund of any credit course fees paid for any term, a student must complete the withdrawal process as prescribed by the College.[1] Fee refunds, for either a complete or a partial withdrawal, will be applied as stated below.

Fall, Winter, Spring Quarters

1. One hundred percent if the class is canceled by the College.
2. One hundred percent if the withdrawal is initiated before the first day of the scheduled quarter.[2]
3. Eighty percent if the withdrawal is initiated during the first eight calendar days of the quarter.[3]
4. Forty percent if the withdrawal is initiated during the ninth through fifteenth calendar day of the quarter.
5. No refund if the withdrawal is made after the fifteenth calendar day of the quarter.

Summer Terms

1. One hundred percent if the class is canceled by the College.
2. One hundred percent if the withdrawal is initiated before the first day of the scheduled term.
3. Eighty percent if the withdrawal is initiated during the first four calendar days of the summer term.
4. Forty percent if the withdrawal is initiated during the fifth through eighth calendar day of the summer term.
5. No refund if the withdrawal is initiated after the eighth calendar day of the summer term.

NONCREDIT COURSES

To receive a refund of any noncredit course fees, a student must complete the withdrawal process as prescribed by the College. Fee refunds, for either a complete or a partial withdrawal, will be applied as stated below.

Fall, Winter, Spring, Summer Quarters

1. One hundred percent if the class is canceled by the College.
2. One hundred percent if the withdrawal is initiated before the first day of the class.
3. Eighty percent if the withdrawal is initiated prior to the second class meeting or the fifth class hour, whichever comes first.
4. No refund if the withdrawal will be processed during or after the second class meeting or beyond the fifth consecutive hour of the class.

WORKSHOPS AND SEMINARS

A full refund is given up to seven calendar days prior to the first day of the seminar or workshop. No refund is given after that date.

Exceptions

Refunds for special circumstances may be approved by the Refund Committee as necessary. Appeals of the Refund Committee's decisions are to be made to the Vice President for Academic Affairs and Student Services.

Students who receive federal financial assistance are required to have any refund of fees calculated in accordance with federally mandated guidelines. Refund amounts for these qualifying students will be determined as prescribed by these regulations.

Footnotes

1 *A withdrawal is defined as any courses removed from a student's schedule, either through the drop/add or withdrawal procedures.*

2 *The first day of the scheduled quarter is defined as the day classes begin as published in the college calendar.*

3 *A calendar day is defined as any one of the seven days of the week.*

Refunds to Students (Independent College)

If you drop a course or withdraw completely[1] you must notify the Registrar's Office immediately. The Cashier's Office will make the necessary adjustments to your account, based on the data furnished by the Registrar's Office. Tuition will be refunded according to the following schedule:

Tuition Refund Schedule for Day and Evening Classes

Prior to the first day of class	100 percent
First week	All but $100
Second week	80 percent
Third week	60 percent
Fourth week	40 percent
Fifth week	20 percent
After fifth week	No refund

If you withdraw before the start of the quarter, 100 percent of your room-and-board charges will be returned. After the term begins, we will refund 90 percent of room charges through the end of the first week, 50 percent through the end of the third week, and 25 percent through the end of the fifth week. We will also refund the actual balance remaining in the board account. Refunds of tuition and other charges for financial aid students who drop courses or withdraw completely will be made in accordance with the policy in the guide to financial aid. All refunds will be made as a credit on the bill and will be carried over to the next term unless a refund check is requested. Contact the Cashier's Office for a refund request form.

Returned Checks

A check that is issued to the College and returned because of insufficient funds or for any other reason, will be held by the Controller's Office for collection. The person issuing the check will be notified and will have 10 days from the date of notification to redeem the check. In addition, a $7 service charge will be levied for each returned check. Legal collection proceedings may follow when a returned check is not redeemed. A student's failure to redeem a returned check within 10 days of notification may result in disenrollment. The issuance of three returned checks by a student in an academic year constitutes grounds for disenrollment under any circumstances.

A department of the College that accepts a check that is subsequently returned unpaid will be charged the amount that remains uncollected after collection efforts have proven unsuccessful.

Footnote

1 First-time students receiving Federal Assistance Funds (Title IV-Student Aid Programs who withdraw completely will receive refunds according to federal regulations. This schedule is available at the Cashier's Office.

Tours and Trips for Students

This policy covers the student tour or trip that is not part of the instructional program, but for which the participants pay all or part of the costs.

APPROVAL

Any trip or tour that is promoted on campus, uses the College's name, or is related in any other way to the College, must first have permission from the Vice President for Academic Affairs and Student Services.

Before the approval can be granted, any student group or college staff member wishing to promote a trip or tour must submit to the Vice President the following information:

1. Names of campus group and other sponsor or cosponsors
2. Purpose of the activity
3. Tour or trip plans:

    A. Preliminary itinerary, including approximate dates and arrangements for meals, lodging, and transportation

    B. Breakdown of estimated costs

    C. Description of size and nature of group

    D. Information on insurance coverage

SPONSORS

The sponsor must be a member of the college staff. A cosponsor may be another staff member, the spouse of the primary sponsor, or an outsider approved by the Vice President.

Each sponsor or cosponsor may receive his or her full expenses, including room, board, transportation, and incidental expenses, paid from the proceeds of the tour or trip.

A sponsor who performs a service that would ordinarily be performed by a paid professional, such as a travel agent, is entitled to a fee not to exceed the amount normally charged by an agent.

A trip or tour should have no more than one expenses-paid sponsor for each 15 students participating.

MONIES

All monies for the activity must be collected in the name of the College and handled through the Treasurer.

The sponsor may arrange for funds to be released for such expenses as deposits, ticket purchases, restaurant bills, and tips.

After all expenses for a trip have been paid, any funds remaining are apportioned among the participants.

PARTICIPANTS

College-sponsored tours and trips are open to present college staff members, students, and alumni. Other persons may join upon special arrangement with the Vice President.

All participants must sign waivers stipulating release of the College and the sponsors from liability. For students under 21, a parent or legal guardian must also sign.

WAIVER

Each participant must submit a waiver freeing both the College and the advisors of responsibility for loss or damage to tour members or their personal effects.

BUDGETING AND ACCOUNTING

Introduction

The policies presented here deal primarily with the interaction between the budgeting and accounting offices and the rest of the campus. Department heads need to know how to initiate annual budget requests and how to get a change made to an existing budget. Responsible employees need to know how to submit invoices for payment, how to obtain reimbursement for allowable business expenses, how to handle petty cash, how to initiate an accounting correction or funds transfer, and how to open a new account. Development staff need guidance on the establishment of new endowments and acceptance of gifts of property.

The budgeting process receives extended coverage. Properly done, preparation of the annual operating budget and capital spending budgets involves all college, school, and department supervisors. Widespread participation increases both the reliability of the final document and its degree of acceptance by responsible faculty and administrators. Theoretical discussion of budgeting distinguishes "top-down" versus "bottom-up" techniques, indicating proposed budget numbers may originate with the highest officers or with department supervisors. Actual practice usually is a blend of the two, with the officers setting forth overall guidance, and with supervisors responding with detailed proposals for their departments.

This manual looks at the distinction between operating and capital budgeting and purchases. Capital items such as land, buildings, and major equipment or furnishings represent assets that have multiyear useful lives. Funds for the acquisition of major capital assets usually come from sources outside the annual budget, restricted gifts, special appropriations, or other.

A matter of special interest to faculty who obtain research grants is the treatment of indirect costs. Educational institutions develop rates to assign hard-to-measure administrative and space costs to research and other programs. Government and other grantors may reimburse such costs based on the rates. For government grants, the rate calculations must comply with the detailed provisions of OMB Circular A-21.

The practice of accounting and design of accounting systems are beyond the scope of this manual. Accounting is a major field of study at colleges and universities. Major programs generally have elective courses in specialized accounting theory and practices employed by not-for-profit organizations, including colleges and universities. Professionally trained accountants employed by institutions of higher education can turn to NACUBO for further guidance. The NACUBO publication College and University Business Administration covers fiscal functions. Much more detailed information, with continuous updates on new developments, comes in the loose-leaf Financial Accounting and Reporting Manual for Higher Education. Lastly, the Financial Accounting Standards Board provides authoritative statements on accounting theory and financial reporting to external parties. FASB's Statements of Financial Accounting Standards No. 116 and 117 particularly apply to the form and content of the audited financial statements of not-for-profit organizations.

Budget Changes (1)

Budgets are established for departments at the start of each fiscal year. In certain circumstances, it becomes necessary for a department to modify a particular category in its budget. Such circumstances may include, but are not limited to, preventing over-expenditures and meeting unusual events.

Budgets are established through the process of preparing the annual operating budget. Information about annual departmental budgets is usually disseminated through the respective vice presidents in late May. Budgets are modified by submitting to the Comptroller's Office a budget adjustment form that must have appropriate approval.

Only those responsible for departmental budgets can request budget changes. Restrictions in making budget changes follow:

- Available budget funds from vacant faculty or staff positions cannot be used to increase supply-and-expense budgets. Exceptions must have the President's approval.
- Since federal funds are involved with certain student wages, only similar type transfers can be made when requesting to modify student wage budgets. For example, College Work Study for College Work Study, Institutional for Institutional, but not College Work Study for Institutional.

- Transfer requests from supply and expense budgets for the purpose of equipment purchases in excess of $2,500 must have the President's approval. All requests for the purchase of microcomputers must have the President's approval.

Approval necessary on the budget adjustment form will depend on who initiates it. The usual two signatures are as follows, in ascending order:

- Chairperson, Director
- Dean
- Vice President
- President

When an event requires a budget adjustment, the change request should be submitted prior to the event. The transaction will be reflected on the department report in the month in which it is processed.

If the budget change is rejected due to insufficient funds, the budget adjustment form will be returned to the originator.

[Figure 1]

TO: Business Office
FROM: Athletics
SUBJECT: Request for Transfer of Budget Funds

DATE: March 3, 1989

Bus. Office Use Only
No. _____

FROM:	Acount Name	Account Number	Amount
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____

TO:	Acount Name	Account Number	Amount
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____
	_____	_____	$_____

This transfer is: Permanent _____
Temporary _____ (this fiscal year only)
Justification:

Dept. Chairperson or Director	_____	Date_____
Appropriate Dean	_____	Date_____
Appropriate Vice President	_____	Date_____
President	_____	Date_____
Comptroller	_____	Date_____
Action completed by:	_____	Date_____

NOTE:

(White - Bus. Office File Cy) (Yellow - Bus. Office Action Cy) (Pink - Depatmental File Cy)

Budget Changes (2)

BUDGET INCREASES AND DECREASES

Budget increases and decreases require the approval of both the department's Vice President and the Vice President for Business and Finance. A memo notifying the Controller's Office must be sent with the following information:

1. Account number to be increased or decreased
2. Amount to be increased or decreased
3. Purpose of the increase or decrease
4. Approval of Budget Manager
5. Approval signatures of the appropriate Vice Presidents

BUDGET TRANSFERS

Budget transfers move budgeted funds from one account to another, either within a department or between various departments. A budget transfer may be initiated by sending a memo to the Controller's Office stating the following:

1. Total amount to be transferred
2. Account(s) to be decreased
3. Account(s) to be increased
4. Purpose of the transfer
5. Approval of Budget Manager(s)
6. Approval signatures of appropriate Vice Presidents
   - Transfers exceeding $500 within a department require the approval of the department Vice President.
   - Transfers exceeding $1,000 require the approval of both the department Vice President and the Vice President for Business and Finance.

Note: College Work Study funds may not be transferred without the approval of the department Vice President and the Vice President for Business and Finance.

Budget Preparation Process

Each year, starting in October, the College's annual operating budget for the coming fiscal year is prepared by the Budget Officer, who works on behalf of the College's Budget Review Committee, which is composed of the President, the Treasurer, the Provost, and the three deans and two members of administrative staff. This budget is ultimately reviewed and must be approved by the Board of Trustees before implementation.

Preparation of the budget document and any subsequent revision is the Budget Officer's responsibility. The budget preparation process may be modified each year to reflect improvements in the process and/or circumstances germane to the year. The process may be generally described as follows:

In October, the Budget Officer mails to each department chairperson and office head the materials necessary for preparation of a new budget, including instructions, forms for requesting student assistance, office/scientific equipment, repairs of facilities, etc., and a computer printout listing the previous year "actual" and the current year "budget" for each of the expense categories (budget objects) authorized for the department.

Department chairpersons and office heads prepare their budgets and forward them to the administrator to whom they report for review and necessary modifications. This initial review stage takes place in November. By mid-December, the administrators forward the budgets to the Budget Officer, together with copies of their correspondence with the department chairpersons and office heads concerning the budget requests. The budget officer forwards to the Directors of Facilities Services and Administrative Services copies of the requests for building repairs/renovations and purchase of office furniture and equipment for their review.

The Budget Officer assembles the revenue side of the budget in consultation with the treasurer and others. This includes estimating tuition and fee increases, anticipating endowment income, gifts and grants, etc. At this time, too, the percent increase for the compensation pools is discussed and entered into the budget models.

By mid-January, the Budget Officer compiles all the individual departmental budget requests and, having compared estimated expenditures with estimated revenues, begins to prepare reports for the meetings of the Budget Review Committee.

The Budget Review Committee sets criteria for the use of new resources by identifying goals or needs.

The Budget Review Committee reviews the proposed budget in January and February, paying particular attention to major equipment needs and those changes in programs and staffing with financial consequences. By mid-February, it makes a recommendation to the College Council and then to the Board of Trustees for tuition and fee levels for the next academic year.

After the Board sets the tuition and fees, the Committee continues its review of the budget proposal, devoting its attention to the review and approval of additional new programs.

In its May meeting, the Board is asked to review and to approve summaries of the proposed operating and capital budgets. After the approval of the Board is obtained—and by June 1—the Treasurer mails to department chairpersons and office heads copies of the approved budget for the new fiscal year.

Budget Request Instructions

The suggested budget printed below contains appropriate increases for pay raises. The budget pool increase for all employees is 3.2 percent.

The suggested budget shows 1 percent inflationary increases for supplies and 2 percent for most other accounts. Student wages, employee benefits, postage, copying, printing, library media, utilities, insurance, student aid, debt, and income-related accounts contain specific adjustments related to known price and volume changes.

You may request different amounts in the 1995-96 request column. You may make offsetting changes within your area of responsibility without explanation. You may also authorize net reductions without explanation. You may request net additional amounts for specific purposes, new needs, or correction of present budget. Funds available for such requests are limited; attach a thorough written explanation for any such requests.

We are using zero-based budgeting for accounts ending in 12 (furniture and equipment). Please detail requests for these funds showing item, description, quantity, and cost. Obtain realistic price estimates from Purchasing for individual items believed to cost over $1,000 or for full orders over $5,000.

The suggested budget does not include the small number of approved new positions. Add the appropriate dollar amount to your request if you have an approved addition.

Departmental supplies budgets should include computer paper, ribbons, diskettes, reference manuals, and the like, used within the department. Computer Services will budget all hardware and software and supply items used in the labs and classrooms.

Leave the request column blank for any line for which you do not wish a change. Do not repeat the figure contained in the suggested budget column.

Return this form to the Vice President no later than June 15. It is due in the Finance Office from the Vice President on July 31.

figure 2

Budget Request Form

PLANT OFFICE		YEAR TO DATE MARCH	1994-95 BUDGET	SUGGESTED 1995-96 BUDGET	DEPARTMENT REQUEST	VICE PRES REQUEST
44040101	FACULTY BASE SALARIES	-	-	-	-	-
44040102	FACULTY OVERLOAD	-	-	-	-	-
44040103	PART-TIME FACULTY	-	-	-	-	-
44040104	SALARIES	-	-	-	-	-
44040105	WAGES	-	-	-	-	-
44040106	OVERTIME	-	-	-	-	-
44040107	PART-TIME SALARIES AND WAGES	-	-	-	-	-
44040108	STUDENT CWS WAGES	-	-	-	-	-
44040109	OTHER STUDENT WAGES	-	-	-	-	-
44040110	FRINGE BENEFITS	-	-	-	-	-
44040112	FURNITURE AND EQUIPMENT	-	-	-	-	-
44040113	EQUIPMENT REPAIR	-	-	-	-	-
44040114	POSTAGE	-	-	-	-	-
44040115	TELEPHONE	-	-	-	-	-
44040116	SUPPLIES	-	-	-	-	-
44040117	COPYING	-	-	-	-	-
44040118	PERIODICALS AND MEMBERSHIP	-	-	-	-	-
44040120	PUBLICATIONS AND PRINTING	-	-	-	-	-
44040121	TRAVEL AND ENTERTAINMENT	-	-	-	-	-
44040140	TRAVEL AND ENTERTAINMENT	-	-	-	-	-
44040146	BUILDING AND GROUNDS LABOR	-	-	-	-	-
44040147	CUSTODIAL SUPPLIES	-	-	-	-	-
44040149	OUTSIDE CONTRACTORS	-	-	-	-	-
44040156	SHORT TERM DISABILITY	-	-	-	-	-
440401	DEPT TOTAL	-	-	-	-	-

Capital Budgeting

CAPITAL BUDGETING PROCEDURES

The approach presented herein defines a capital project (new construction, renovation, or equipment acquisition) as proceeding through stages of development with an explicit approach required by appropriate people and review bodies at each stage. These review bodies include the appropriate trustees' committees (Academic Planning and Student Affairs, Budget and Finance, and Physical Facilities) and the President's Cabinet. The summary of the capital project plans of each department at a point in time, portrayed by their funding and financing, is the Capital Project Plan for the University. The amount of money, from specified sources, that is expected to be spent during the next fiscal period then is the capital budget for the University for that period.

The sequel defines the capital project stages, describes the role of the President's Cabinet and Trustee Committees, and presents and describes the format of the Capital Project Plan and capital budget. Tables A and B outline the various steps through which a project passes within the different stages of the process for projects involving over and under $250,000 in capital funds respectively.

Capital Project Stages

Projects are categorized in stages:

Initiation (I)—Project is a gleam in the eye of the department, vice president, and/or donor.

Planning (P)—Project has been formally recognized as worthy, and funds have been identified to do sufficient planning to scope the program and its cost and to prepare a fund-raising case statement.

Design (D)—The prospects for full funding are deemed to be sufficiently good to warrant the risk of preparing detailed drawings and bid specifications, and funding has been identified for this purpose.

Construction (C) (or acquisition)—The project is fully funded (in the sense that pledges or other sources of capital funds have been identified and confirmed) and fully financed (in the sense of either cash in hand or borrowing to be repaid at interest as the funding is realized).

Financing (F)—The project is complete but the financing, either temporary or permanent, has not yet been retired.

Figures A and B describe the steps of a project in passing through these stages. The detailed description is couched in terms of a construction project, but the general approach applies equally well to equipment acquisition.

Role of President's Cabinet and Trustee Committees

The President's Cabinet must initially agree with the affirmative support of the appropriate executive officer that the proposed project is in keeping with the approved academic plans of the University. The President's Cabinet must then make an affirmative decision for a project to move from one stage to another. Also, the appropriate trustees' committees must formally approve, upon the recommendation of the President's Cabinet, the move between stages for any project involving more than $250,000 and any subsequent budget overrun of more than 5 percent.

In addition, the President's Cabinet controls and allocates a modest general institute capital budget and a deferred maintenance budget funded from the annual operating budget.

Capital Project Plan

Given the stages and the approval mechanisms for capital projects, it is possible to present a summary of the capital project plans of the individual departments over some period, say five years. A subset of these plans, normally those for which funds are proposed to be spent during a fiscal period, become the capital budget for that period.

Estimate Request

To request estimates for new projects, use the estimate request, Figure 3. This form must be approved by both the department head and division head before being sent to Plant Services. All estimate requests must be received and approved at Plant Services prior to December 1.

Estimate requests will be processed by Plant Services and returned to the requester no later than January 15.

Expenditure Request

If you decide to submit the project for consideration in the upcoming fiscal year budget, please complete an expenditure request, Figure 4. This form requires the same approvals as the estimate request and should be forwarded to Plant Services.

Table A

Table A
Capital budget procedure for projects over $250,000

Required action	Responsibility of
Initiation Stage (I)	
1. Identify need	Department, Program, etc. in consultation with Provost (vice President for Business Affairs) and Director of Physical Plant
2. Estimate cost	Director of Physical Plant
3. Estimate incremental operations and maintenance	Director of Physical Plant
4. Approve project and cost estimates for planning stage (with priority assignment relative to other projects)	President's Cabinet
5. Review and approval by trustee committees on academic planning and student affairs and physical facilities	President
Planning Stage (P)	
6. Authorize funds for program planning	Vice President for Business Affairs
7. Prepare project program (including budget estimates)	Director of Physical Plant
8. Prepare preliminary funding and financing plans	Vice President for Business Affairs
9. Approve project program (including budget estimates and funding and financing plans) and assign priority	President's Cabinet
10. Review by trustee committees on physical facilities and budget and finance	President
Design Stage (D)	
11. Fund raising (with assigned priority)	Vice President for University Relations
12. Authorize funds for architect/engineering fees	Vice President for Business Affairs
13. Recommend architect/engineering firms	Director of Physical Plant
14. Trustee physical facilities committee selects architect/ engineering firm	Director of Physical Plant
15. Trustee physical facilities committee reviews and approves project design and budget	President
16. Develop financing plan	Vice President for Business Affairs
17. Review project funding and financing plans and authorize bidding	President's Cabinet
18. Trustee budget and finance committee and executive committee approves construction budget and funding and financing plans	President
Construction Stage (C)	
19. Select construction firm	Director of Physical Plant
20. Administer capital project	Director of Physical Plant
21. Report project completion to trustees	President
Financing Stage (F)	
22. Periodic report of status of project financing	Vice President for Business Affairs

Table B
Capital budget procedure for projects under $250,000

Required Action	**Responsibility of**
Initiation Stage (I)	
1. Identify need	Department, Program, etc. in consultation with Provost (Vice President for Business Affairs) and Director of Physical Plant
2. Develop scope and estimate cost	Director of Physical Plant
3. Approval by president's cabinet	Director of Physical Plant
Planning Stage (P)	
4. Prepare project program (including budget estimates and preliminary funding and financing plans)	Vice President for Business Affairs
5. Approval by president's cabinet	Vice President for Business Affairs
Design Stage (D)	
6. Approve funds for architect/engineering fees	Vice President for Business Affairs
7. Engage architect/engineering firm (if necessary)	Director of Physical Plant
8. Approval of project, funding plan and financing plan by President's Cabinet	Vice President for Business Affairs and Director of Physical Plant
Construction Stage (C)	
9. Select construction firm	Director of Physical Plant
10. Administer project	Director of Physical Plant
11. Report project completion to President's Cabinet	Director of Physical Plant
Financing Stage (F)	
12. Periodic report of status of project financing to President's Cabinet	Vice President for Business Affairs

Figure 3

Project No.

EXPENDITURE REQUEST FORM

DEPARTMENT/LOCATION	ESTIMATED COST
TITLE OF PROJECT	ACCOUNT
SPENDING REQUEST CURRENT FISCAL YEAR $_____ BEYOND $_____	Completion Date / /

Brief description of Project

Will annual operating costs be affected yes____ no____
(if yes, explain in detail)

Will project result in addition/reduction yes____ no____ of personnel
(if yes, explain in detail)

APPROVALS

APPROVAL SIGNATURE	DATE
ORIGINATOR _____	/ /
DEPARTMENT HEAD _____	/ /
DIVISION HEAD _____	/ /
PHYSICAL PLANT _____	/ /
SAFETY OFFICER _____	/ /

ORIGINATOR - WHITE
PLANT SERVICES - YELLOW COPY
DIVISION HEAD - PINK COPY
DEPARTMENT HEAD - GOLD COPY

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Figure 4

Plant Service Use Only

PROJECT NUMBER

_____

MAJOR REPAIR, RENOVATION AND ALTERATION
PROJECT ESTIMATE REQUEST FORM

To be completed by requesting department and forwaded to the Director of the Physical Plant

---

REQUESTED BY_____ DATE_____
BLDG & ROOM_____ DEPARTMENT_____
CONTACT PERSON_____ TELEPHONE EXTENSION_____
DEPARTMENT HEAD_____
Signature
DIVISION HEAD_____
Signature

DESCRIPTION OF WORK OR SERVICE_____

_____

_____

_____

_____

TO_____ DATE_____

FROM_____

YOUR PROJECT HAS BEEN ESTIMATED AND A PHYSICAL PLANT PROJECT NUMBER HAS BEEN ASSIGNED TO THIS REQUEST, AS SHOWN ABOVE. IF YOU HAVE ANY QUESTIONS CONCERNING THIS PROJECT, PLEASE REFER TO THIS PROJECT NUMBER.

COST ESTIMATE

_____

_____

_____

Office of the Physical Plant by_____
Signature

ORIGINATOR - WHITE
PLANT SERVICES - YELLOW COPY
DIVISION HEAD - PINK COPY
DEPARTMENT HEAD - GOLD COPY

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Capital Equipment Purchases

A "capital purchase" is equipment or software with a useful life exceeding two years and an individual cost equal to or above the thresholds defined directly below. Capital purchases (equipment, furniture, computers, software, etc.) are developed from budgeted departmental needs for new and replacement equipment (auditing regulations require that a differentiation be maintained between new capital acquisitions and the replacement of existing capital equipment).

The thresholds for classification of various capital purchases as "fixed assets" shall be as follows:

1. At the level of threshold set forth in applicable regulations or grantor requirements when the "assets" are acquired with grant or contract funds and title/ownership of the "assets" belongs to the grantor/contractor at the time of purchase or construction, but not at a higher threshold than 2), below;

2. At $500 when title/ownership of the "assets" belongs to the College at the time of purchase or construction or when such "assets" are acquired under lease/purchase conditions and where payments are made from sources such that title/ownership belongs or will belong to the College.

These thresholds shall be used for general accountability, inventory control, insurance, and propriety fund financial statement purposes. Propriety funds include the College's auxiliary and internal service funds. Governmental funds include the College's general, special revenue, and capital projects funds.

CAPITALIZATION POLICIES AND PROCEDURES

Here is a statement of the College's fixed asset capitalization policies and procedures.

We will capitalize the following:

1. All purchases or donations of land. The Vice President for Finance will be responsible for identifying these.

2. All building additions and improvements and land improvements, but not repairs, maintenance, or alterations. The Vice President for Finance will be responsible for identifying these. The normal source document will be construction contracts.

3. Individual furniture and equipment items with a cost of $1,000 or more, or furniture or equipment-like items with an aggregate cost of $5,000 or more. Purchasing will be responsible for identifying and entering a capitalization code in the purchase order record. Usually such items will be charged to object code 12. Aggregates will normally be a one-line item. The College will print a monthly list of paid items with capitalization codes.

The Controller will write journal entries to capitalize. The Associate Vice President for Finance will enter furniture and equipment items into the PC inventory record, including estimated useful life. The student employees of the Associate Vice President for Finance will cycle-count the inventory, covering all once each year.

The College will write off items when it approves a disposal or when the item's useful life has ended. The Associate Vice President or the Purchasing Director may approve disposals. Disposals will be identified by memorandum requests from the department or by trade-ins stated on purchase order request forms. Any unusual disposals will be brought to the attention of the Vice President for Finance.

Endowment Levels and Minimum Requirements

PURPOSE

This policy defines types of endowments and outlines the minimum requirements needed for establishment either within the Regents or the Foundation.

DEFINITIONS

Endowment fund—fund whose donor has stipulated that the fund principal must remain inviolate and that only income may be expended.

Fund functioning as an endowment—fund where the principal has been set aside by administrative action to be invested in the manner of an endowment fund.

Distinguished professorships—an academic position supported by either endowments or funds functioning as endowments. Income from the fund may be used to support the base salary of the individual appointed to be the distinguished professor.

Endowed chairs—an academic chair supported by endowments or funds functioning as endowments. Income may be used by the individual appointed to the chair in support of teaching and research activities, but may not be used to support the base salary of a State-funded position. Income may be used to augment the salary of a State-funded position or may be used to pay the salary of the holder of a non-State-funded position.

POLICY

1. With the exception of distinguished professorships, which are managed by the Foundation, all endowments, funds functioning as endowments, and endowed chairs may be managed by either the Regents or the Foundation. In order to establish these funds, minimum levels must be met.

	Regents	**The Foundation**
Endowments	$10,000.00	$10,000.00
Funds Functioning as Endowments	10,000.00	10,000.00
Endowed Chairs	500,000.00	500,000.00
Distinguished Professorships	———	1,500,000.00

1. Terms and conditions, as well as minimum levels, must be agreed upon before an endowment is established, therefore, contact with the Development Office or the Foundation Office, whichever appropriate, is required.

RESPONSIBILITY

Endowed Chairs
Responsibility for final approval of endowed chairs resides with the Regents, upon the concurrence and recommendation of the appropriate Dean, Senior Vice Chancellor of Academic Affairs, Academic Senate, and the Chancellor.

Distinguished Professorships
Responsibility for final approval of distinguished professorships is at the campus level and resides with the Chancellor, following the concurrence and recommendation of the appropriate Dean, Senior Vice Chancellor of Academic Affairs, and the Academic Senate.

Endowments and Funds Functioning as Endowments
Although endowments are designated as such by a donor or the Regents, deans, chairs, and other unit heads may establish funds functioning as endowments. Because circumstances vary greatly from one situation to the next, the Development Office should be consulted.

Gift Acceptance and Processing

GIFT ACCEPTANCE GUIDELINES FOR OUTRIGHT GIFTS

Purpose of Guidelines
It is the policy of the University to accept gifts of cash, security, and property to be used for the greatest good of the University. The designated entity for acceptance of such gifts is the Office of University Relations. All gifts, solicited or unsolicited, of money, gifts-in-kind, and/or services of any description to the University shall be immediately reported to, and when appropriate, receipted by, the Office of University Relations. Gifts received by any University personnel should be delivered immediately (the same day), if possible, to the Office of University Relations.

Gifts of Cash

Gifts of cash are receipted to the proper fund and are deposited daily. Receipts will be mailed to the donor within one week of receiving the gift. Matching gifts from employers are credited to the donor for giving club recognition, but receipts are sent to the company. Checks should be made payable to: the University.

Gifts of Securities

Stocks, bonds, notes, or other instruments for which value can be determined in the financial market place should be made payable to the University. Donors are encouraged to have a conversation with the Vice President for Financial Affairs or the Director of Trusts and Bequests to determine the most advantageous method of giving donations of securities. Internal Revenue Service guidelines are followed in establishing the value of donated securities. It is the responsibility of the Vice President for Financial Affairs to determine, based on information from the donor and/or security market sources, whether or not it is advantageous to sell the donated securities immediately. Regardless of whether or not the securities are sold, it is the responsibility of the Vice President for Financial Affairs to account for the securities and, when appropriate, contact brokers regarding the disposition of such securities. If the securities are not listed with a broker, please mail the unendorsed certificates to the Vice President for Financial Affairs. In a separate envelope, mail the signed signature guaranteed stock power. Registered mail is highly recommended.

Gifts of Real Estate

Gifts of real estate are welcomed by the University. It is the donor's responsibility for obtaining appraisals, EPA studies, etc., for gifts of property except in such cases where the University will assume that responsibility. Gifts must be reviewed by the Vice President for University Relations, the Vice President for Financial Affairs, and other selected counsel for environmental and economic impact, and other issues before accepting gifts of real estate. The Board of Trustees has final approval for all gifts of real estate.

Gifts of Personal Property

Gifts of personal property (i.e., antiques, works of art, collections, etc.) are all welcomed by the University with approval from the Vice President for University Relations. The donor is responsible for securing appraisals on such property according to IRS guidelines. The Board of Trustees has final approval of all gifts.

Gifts of Equipment

Gifts of equipment are encouraged by the University. However, when such equipment requires additional and/or ongoing maintenance that is not budgeted, prior approval must be received from the Vice President for University Relations and the receiving area.

Challenge Gifts or Pledges

Challenge gifts or pledges requiring matching funds by the University are welcome, but the gifts must receive prior approval from the Vice President for University Relations.

The University reserves the right to treat each gift on an individual basis, and thereby reserves the right to accept, reject, or modify any agreement and/or gift.

GIFT ACCOUNTING PROCEDURES FOR OUTRIGHT GIFTS

Cash and Cash Pledges

Current gifts in the form of cash and pledges will be counted as actual gifts and pledge levels when accompanied by a copy of the appropriate gift documentation.

Securities

Stocks, bonds, and other negotiable securities will be counted at the mean between the high and low on the date of the gift. The value of the gift is not altered by losses or gains at the time of actual sale of the securities nor by brokerage or other expenses.

Real and Personal Property Gifts

Gifts of real and personal property with a value above $5,000 will be recorded at the fair market value as determined by an appraisal (obtained by the donor) that qualifies under the current IRS guidelines. Otherwise, the gift will be recorded as a gift-in-kind without a dollar amount. Donors are encouraged to obtain an appraisal for their tax purposes.

Gifts of Equipment
Gifts of equipment will be receipted as outlined in gifts of real and personal property.

Challenge Gifts
Challenge gifts will be receipted as outlined in gifts of cash.

GIFT ACCOUNTING PROCEDURES FOR DEFERRED AND LIFE INCOME GIFTS

Irrevocable Deferred Gifts
Charitable remainder gifts, including pooled income funds, charitable remainder trusts, and gift annuities, will be valued at the fair market value of the assets on the date of the gift.

Charitable Lead Trusts
Trusts that pay an annual income to the University, but which make no commitments regarding the future distribution of principal, should be valued by the following method:

- If the trust pays a fixed annual yield, the gift is determined by multiplying the annual return by the actual number of years the trust is setup to run;
- If the trust pays a variable rate, the gift will be determined on the basis of a 5 percent rate of return on the principal for the number of years of the trust. In the case of a trust, the term of which is based on the life of an individual, the term remaining shall be the life expectancy of such a person.

Trusts Administered by Others
Charitable Remainder Trusts administered by others on behalf of the University will be credited for the value of the remainder interest as determined for tax deduction purposes.

Wills and Living Trusts
Provisions in wills and living trusts will be recorded at the discounted dollar value of the Pledge Note according to the following standard: If the donor is under 40 years of age, no gift credit will be recorded; over the age of 60 years, full value will be credited; between the ages of 40 and 60, 5 percent per year will be recorded. Thus an individual who is 55 years old, will have 75 percent (55-40 = 15 x 5% - 75%) of the Pledge Note.

Life Insurance
The University may be named either irrevocable or revocable beneficiary in life insurance policies, depending upon ownership. When the institution is not the owner of a policy—when the gift is revocable—it will be recorded as a future Revocable Deferred Gift. Irrevocable beneficiary designations in life insurance policies will be recorded as follows:

- Paid-Up Policies: When no further premiums are due on policies, death benefit value will be recorded according to the same discounted formula presented in Wills and Living Trusts.
- Premiums Remaining to be Paid: When premiums remain to be paid on life insurance policies, the gift of a policy will be recorded as a Revocable Deferred Gift. The exception is when a donor presents a policy and a Pledge Note, or other pledge documentation, committing the donor to pay the premiums in full. The gift then will be recorded according to the standards of Paid-Up Policies.
- Paid-Up Policies: If a policy is a paid-up policy, its fair market value is its replacement cost. That value is the amount that the insurer would charge for a single-premium contract of the face amount on the life of a person the same age as the insured.
- Premiums Remaining to be Paid: If a premium remains to be paid, its fair market value is the "interpolated terminal reserve" value of the policy, plus the part of the last premium payment that covers any period beyond the date of the gift. (Interpolated terminal reserve is usually an amount slightly higher than the cash surrender value.)

The University reserves the right to treat each gift on an individual basis, and thereby reserves the right to accept, reject, or modify any agreement and/or gift.

Journal Entries

Journal entries are used when a Budget Manager needs to transfer either revenue earned or expense incurred to another account. Journal entries are also used when one department provides services at a cost to another department.

Journal entries are initiated by sending a memo to the Controller's Office describing the situation or event that requires an entry. Examples are listed below:

1. Expense Transfer: The Computer Center purchases paper for the printers. When the Accounting Office requests the paper, the Computer Center will transfer the cost of the paper from a Computer Center expense account to an Accounting Office expense account through the use of a journal entry.

2. Revenue Transfer: Revenue transfers are handled in the same manner as expense transfers, except, the Budget Manager is transferring revenue to another account.

3. Other Journal Entries: Other occasions when journal entries are to be used include departmental purchases from another department. For example, Weekend College asks Dining Service to provide the food for a picnic. Since this is a sale of service to an internal department, a journal entry is used. Dining Service will be credited with the revenue for the service while the Weekend College Office will be charged for the cost of the service provided.

Matching Gifts

All corporation matching gifts forms are to be sent to the Chief Financial Officer for execution according to rules set by the corporation or foundation for the employee match.

Guidelines for the administration of matching gift programs have been provided by a National Steering Committee and contain general and specific guidelines for the matching gifts program. Institutional administrators should satisfy themselves on the following points:

1. That the gift was made.

2. That the gift was made in accordance with guidelines of the corporation requested to match the gift.

3. That the donor is eligible for a matching gift according to the corporation's policies (for example, a spouse's gift, gifts from other members of the family, gifts in kind, etc.).

4. That the use for which the match is intended is legitimate under the corporation's guidelines.

Generally, gifts from corporations are unrestricted and are given to the institution to apply in any way desired.

Moving Expenses Reimbursement

PHILOSOPHY

In order for the College to be competitive in the employment market and to be able to attract and retain a competent work force, it may be necessary to defray normal intrastate and interstate moving expenses. Relocation is becoming increasingly common. Policies that help ease the employee's financial, personal, and psychological problems of relocation and transfer are both a business necessity and a morale booster.

POLICY

All or some portion of the moving expenses of an employee may be reimbursed by the College when the reimbursement will be in the best interest of the College and subject to the availability of funds.

Moving expense reimbursements will in general be in accordance with the State Moving Policy as adopted by the State Board of Examiners subject to the following restrictions:

1. Moving expense reimbursements are at the discretion of the College and should be established as a part of the employment contract.

2. Agreements to reimburse moving expenses require the prior approval of the President or his designee and shall be reviewed by the Office of Financial Affairs for the source and availability of funds.

3. Reimbursement of moving expenses in excess of $5,000 for an employee must be reported to the State Board of Education.

4. Expenses in excess of the specified reimbursement limit as stated in the employment agreement shall be the liability of the employee.

5. Expenses for items specifically excluded by the State Moving Policy, such as camper trailers, animals, boats, and other nonhousehold items, shall be the liability of the employee.

If an employee fails to fulfill his or her contract or appointment obligation after having been reimbursed for moving expenses, the employee will be required to repay a prorated portion of the reimbursement.

Strict Adherence to Moving Policy

AUTHORIZATION AND PROCEDURE

All interstate moves require prior approval of the department director or designated representative.

All intrastate transfers of department personnel shall be in the best interest of the department, and at its discretion. These transfers shall be approved by the appropriate designated administrator and coordinated through the personnel office.

The method and forms for granting and payment of moving expenses in a department shall be as prescribed by the department's director or designated representative.

Departmental Policies
This policy prescribes only the maximum allowable reimbursement rates. Each department may adopt a more restrictive moving policy. Employees who do not follow the prescribed moving policy and personally negotiate an interstate or intrastate move with other than their own agency may be liable, at their own expense, for such a move.

USE OF STATE EQUIPMENT PROHIBITED

Use of state equipment to move an employee or to pull a privately owned trailer or trailer house is expressly prohibited unless approved by the Board of Examiners.

DAILY EXPENSES

Lodging
The State will pay the actual and necessary daily motel costs up to that amount and number of days as prescribed by the Board of Examiners.

Daily Allowance Rate
A single employee receives the existing per diem rate based upon the Board of Examiner's regulations. Each employee's dependent receives the same as a single employee. In no event shall daily allowances exceed four times the employee per diem. One round trip for personal auto, plus one-way mileage from the old to the new location, will be allowed.

HOUSEHOLD GOODS WEIGHT LIMITATIONS

The maximum total reimbursed for movement of household goods shall include only normal household and personal belongings up to the maximum number of pounds prescribed by the Board of Examiners.

NONHOUSEHOLD ITEMS

Expenses for moving animals, camper trailers, boats, and other nonhousehold items will not be paid by the State. Mileage will be paid by present State Board of Examiner's regulations for two personal cars driven by employee or dependent. The State will not pay expenses for additional cars transported by mover. Exceptions to the movement of nonhousehold goods can only be made by the Board of Examiners.

PACKING

Packing costs allowable by the State for the movement of household goods and personal belongings shall be as prescribed by the Board of Examiners.

INSURANCE

Personal liability insurance shall not be allowed by the State. The State will not reimburse additional personal property insurance in excess of that prescribed by the Board of Examiners. Additional personal property insurance over and above that supplied by mover to cover fair market value of goods shall be as prescribed by the Board of Examiners.

APPLIANCE SERVICES

The State will pay costs of servicing appliances for shipment and reconnection costs of appliances such as washers, dryers, etc., and putting such back into service at moving destination if this is a service of moving company. However, this cost shall exclude TV and radio antennas, etc., and capital improvements to accommodate appliance hookups.

EXTRA LABOR

Expenses for extra labor will not be paid by the State, however, under unusual situations or justified hardship circumstances, exceptions may be allowed by the Board of Examiners.

U-HAUL OR OTHER CONVEYANCE

If the employee chooses to move by U-Haul or other conveyance, the actual bill and mileage for the vehicle utilized in the move is to be submitted to the immediate supervisor who is responsible for processing and payment. The State will pay insurance for moving household goods by U-Haul or other conveyance as prescribed by the Board of Examiners.

MOBILE HOME MOVES

Allowable moving expenses may be paid for a mobile home, which is the primary residence of the employee, provided the move is not within the same metropolitan area.

The State will pay the cost of relocation to the newly assigned location in addition to reimbursable expenses for household goods and personal effects.

Following written authorization, the employee may only engage a licensed and bonded mobile transfer company in his/her area to undertake the move.

The State will not reimburse additional personal liability insurance costs for goods not covered by the mobile home transfer company. Additional insurance over and above that supplied by the mover must be purchased at the employee's expense.

Charges for unblocking, blocking, service disconnects, hookups (electrical, sewer, water, gas, etc.) and skirting are reimbursable only if the work is performed by a licensed contractor. Materials will only be paid for in instances where city, county or state codes require specific changes for utilities. Skirting and blocking expenses are reimbursable for labor costs only and not for any new materials that might be required to complete the particular job.

The State cannot authorize payment to any employee to move his/her own mobile home beyond the mileage allowance for a personal auto. Likewise, no charges can be reimbursed for insurance, blocking, service hookups, skirting, etc., should the employee choose to move his/her own mobile home.

Following relocation of the mobile home to the employee's satisfaction, the transfer company shall submit its itemized bill of charges to the appropriate receiving location for processing and payment.

The maximum allowable moving costs may not exceed that amount prescribed by the Board of Examiners.

REAL ESTATE EXPENSES

Either relocation services or sale of home may be used, but not both. Parts of each cannot be combined.

Relocation Services

Agencies may enter into agreements that provide state-reimbursed employee home relocation services. The program objective is to facilitate home reimbursement to certain personnel who wish to take advantage of the home purchase program. The employees selected for relocation assistance will be those the agency determines to be in the best interest of the state without which the agency would be unable to staff positions with the most qualified personnel:

1. The State will contract with a relocation firm that specializes in such services after competitive bidding with other interested organizations. It is intended that the employees make no financial gain from the program. Reimbursements will be limited to fair market values using standard appraisals.

2. Only permanent employees who have a minimum of six months agency service will be eligible for this program.

3. The services will involve only the eligible employee's principal residence on lots of the size of those typical to the neighborhood. The employee will give evidence of attempting to sell his home for 90 days before requesting relocation services.

4. State reimbursed services will not be paid which involve: income producing properties, vacation homes, vacant land and residences requiring major or structural repairs, any residences containing urea-formaldehyde form of insulation, and any residences which exceed $200,000 in appraised value.

Sale of Home

As an alternative to the use of a relocation service on transfers that necessitate the selling of homes, or mobile homes, certain costs incurred in connection with selling the original home will be reimbursed up to the amount shown in the following schedule. For the purposes of this section, transfers shall mean only those moves approved by the department. These costs shall include, and are limited to:

1. Realtors' commission fees—maximum as prescribed by Board of Examiners.

2. Title insurance fees—actual amount.

3. Two appraisal fees—actual amount.

4. If the employee resides in rented quarters at the old location, the State will pay reasonable expenses incurred by the employee in terminating a lease agreement, up to a maximum as prescribed by the Board of Examiners.

5. Actual and necessary selling costs will be reimbursed for that portion of the dwelling the employee actually occupies if the employee or officer owns and resides in a multi-family dwelling.

6. Where an attorney is employed, rather than a realtor, the allowable fees shall be as prescribed by the Board of Examiners.

7. The actual amount of the seller's portion of the title company's closing fees when a realtor is not used.

This Real Estate Provision shall apply only during the period the employee is actively advertising the home for sale with a maximum time period as prescribed by the Board of Examiners. Homes retained by the employee after this period shall be considered as rental or investment property of the employee.

STORAGE, WAREHOUSE HANDLING, AND DELIVERY

All new employees, as well as transferred employees within the State, are encouraged to make arrangements for housing prior to the arrival of household goods at destination. However, if under unusual circumstances, prior housing cannot be arranged, the State will pay the storage and delivery expense up to the maximum number of days and amounts allowed by the Board of Examiners.

METHOD OF PAYMENT

Promptly upon completion of move, the moving concern shall submit the final invoice. Any unusual or exorbitant expenses associated with the move must first be justified by the employee before final payment is made.

New Account Requests

Budget Managers and Program Managers who need additional accounts for a better break down of revenues and expenses need to send a memo requesting a new account to the Controller's Office. The following information must be addressed:

- Purpose for the new account (i.e. computer hardware purchases)
- The Budget Manager or the person responsible for the account
- Amount of budgeted monies for this account (source of budget; where the budgeted monies are to be transferred from for the new account)
- Signature of the person requesting the new account

Note: New accounts will be available only after a thorough review by the Controller's Office. The person(s) responsible for the new account will be notified after the account has been created by the Account Clerk.

Overhead (Indirect Costs) (1)

The College negotiates an indirect cost rate with the Department of Education. This indirect cost rate is applied to federal, state, and other grants and contracts received by the College. In many instances the indirect cost rate recovery from the funding agency is limited to a lesser rate.

The Vice President for Administrative Services, or designee, approves all contracts with an indirect cost rate lower than the negotiated rate.

Money received by the College from agencies for indirect cost reimbursements is treated as income in the general fund under the account number series 1-01-11111-XX. It is identified as administrative support and is recorded as an expense item in the grant or contract budget account number X-XX-XXX37-XX. Grant and Contract accounts are commonly referred to as funded projects funds.

The self-sustaining elements of the College (i.e., bookstore, food services, etc.) may have an expense requirement in their budgets to reimburse the College for space usage, utilities, etc. This group known as the auxiliary funds has budgeted funds for indirect cost reimbursements that are recorded as an expense in those budgets under account number X-XX-XXX37-XX for administrative support and as revenue to the general fund under account 1-01-40037-XX.

The negotiated rate for this fiscal year is 36 percent. Other information on indirect cost rates and overhead expenses may be obtained from the Director of Financial Services.

Overhead (Indirect Costs) (2)

RESEARCH INCENTIVE/OVERHEAD RETURN

Overhead return is a policy designed as an incentive program for principal investigators (PIs) to generate sponsored research. When a PI receives external funding, either by government or corporate sponsors, a federally approved overhead rate is applied to specified direct costs.

Questions regarding the overhead distribution should be directed to the Manager of Sponsored Research.

Frequency

Each quarter (September, December, March, June) a portion of the overhead costs generated on active grants and contracts is returned to the PI and associated department.

Calculation

The amount returned is based on the net overhead after adjustments for cost sharing and overexpenditures. The distribution for PIs and the associated department is 15 percent and 10 percent, respectively, of the net overhead.

Reporting

A report of the overhead distribution calculation is sent to the PI and department head in October, January, April, and July.

Usage

The funds from the overhead return are deposited to the overhead return account. The funds are to be used at the PI's discretion. Many PIs choose to use the funds to support travel, computer or equipment purchases, or student stipends.

When a PI terminates his or her employment with the University, the funds remaining in the overhead return account are at the discretion of the University.

Petty Cash (1)

Petty cash is defined as a cash fund available for miscellaneous small purchases under $25. The fund is used when the College does not have charge accounts with the vendor or when it is impractical to issue a purchase order.

ESTABLISHING A PETTY CASH FUND

In order to establish a petty cash fund, prepare a check request form (not to exceed $100). Make the check request payable to the department head who will be responsible for the funds. The purpose listed should be to establish a petty cash fund. Omit the account number; it will be inserted by the Accounting Department. This check request must be countersigned by the department head's supervisor.

SAFEKEEPING

The petty cash fund must be kept in a secure place. The usual practice is to keep the cash in a cashier box and lock the box in a desk or file cabinet. Only one person (designated by the department head) should access this fund. All receipts should be kept in the cashier box with the cash. Each receipt should contain the date, amount, and description of the item purchased. If this information is not printed on the receipt by the vendor, write these details on the back of the receipt.

When petty cash is given to an individual to purchase an item, place an IOU in the petty cash box. The IOU should list the amount and to whom the cash was given. This is necessary so that the total of receipts, IOUs, and cash equals the original amount of the petty cash fund at all times.

REPLENISHMENT

When the cash balance in the petty cash box is low, you should replenish the cash. To do so, total all receipts and complete a check request form for the amount of the receipts. The check request should be made payable to the department head and include the purpose (replenish the petty cash fund) and the account number to be charged. The check request must be signed by the department head and countersigned by the department head's supervisor. Attach all receipts to the check request and forward to Invoice Control for processing. You will receive a check in approximately one week. You may cash the check in the Treasury Office.

RESTRICTIONS AND UNALLOWABLE EXPENSES

At no time should petty cash exceed the established amount. Proceeds from the sale of stamps, supplies, and coffee should be handled as internal cash receipts and deposited with a cash transmittal memo to the Treasury Office.

Petty Cash (2)

The purpose of a petty cash fund is to provide an immediate cash resource to reimburse any out-of-pocket purchase not exceeding $100 for any one item or vendor receipt incurred by a department. It is also used to pay sports officials and tuition/fee refunds. Petty cash can be used only for the purchase of materials for the department. Petty cash cannot be used to pay for services of an individual other than sports officials. Use of a VISA card may better fulfill a department's needs.

DEPARTMENTAL PETTY CASH FUND

A petty cash fund may be assigned to a department whose activities require a significant number of small cash outlays. The following rules are observed in using a departmental petty cash fund:

1. An application for a petty cash fund, generally not to exceed $100, is made through the appropriate Vice President/Associate Dean to the Director of Financial Services.

2. A petty cash fund custodian is designated by the department head and is responsible for maintaining the fund in an accurate manner and keeping the cash box secured in a safe place in the department.

3. Reimbursements should be made only after the presentation to the petty cash custodian of receipts marked "sold to the College." Both the custodian and person receiving cash must sign the petty cash voucher.

4. Petty cash assigned to a department may not be transferred or reassigned to another department or employee. The fund is reconciled and returned to Financial Services on termination of the petty cash custodian or department need for a petty cash fund. The department head, by memo to the Director of Financial Services, reappoints a new petty cash custodian, and a new petty cash fund is established.

5. When cash is advanced for a purchase, a petty cash voucher is partially completed and signed by the individual receiving the petty cash, and the voucher is completed after the purchase is made.

6. The petty cash fund shall not be used as a check cashing resource. Cash for personal use may be obtained from the automatic teller machines of the ground floor in the Center Building or at the Financial Services Office (see A-12).

7. An audit of the petty cash fund may be made at any time by a representative of Financial Services. Fund discrepancies or misuse of the fund may result in the revocation of petty cash fund privileges for the particular department.

The following procedure is used in handling a petty cash transaction:

1. Obtain receipt from the employee for goods purchased. Receipt must clearly indicate that the goods were paid for and not charged to the school. Receipts should read "Sold to the College" and indicate what was purchased and that it was paid.

2. Complete the petty cash voucher in the manner shown in the attachment.

3. Attach vendor cash receipts to the petty cash voucher. The total of the receipts must equal the total of the amount column on the voucher.

The following procedure is used to summarize and reimburse the departmental petty cash fund:

1. Add the amounts of all petty cash vouchers by account number, and enter the account number and total amount to be charged to it on the petty cash reimbursement summary form supplied by Financial Services (see attached).

2. Total the amount columns of the reimbursement summary.

3. Count the amount of cash on hand.

4. Add the cash on hand to the total of the reimbursement requested. This total should equal the total of the petty cash fund.

5. Sign and date the reimbursement request.

6. Staple the petty cash vouchers and supporting receipts to the reimbursement summary form. Fold the bottom half of the reimbursement summary form around the vouchers and receipts. Staple together.

7A. For cash reimbursement to your departmental petty cash fund, submit the petty cash voucher package (Step 6) along with the Cash Payout Authorization filled out completely (as per attached directions) to a Cashier at the counter. The Cashier will review your request and have the person receiving the money sign for the cash paid out.

7B. For a check to reimburse your departmental petty cash fund, submit the petty cash voucher package (Step 6) to the operations section of Financial Services by the 8th, 18th, or 28th of each month.

8. All petty cash funds must be reconciled and reimbursed during the last week of June as a part of the fiscal year closeout.

FINANCIAL SERVICES PETTY CASH FUND

A separate petty cash fund is available in Financial Services to employees of departments who do not have a departmental petty cash fund. The following procedure is used to obtain a reimbursement of out-of-pocket expenses not exceeding $100 per item or receipt:

1. Complete a cash payout authorization (3-part) (see attached) for the purchase made and attach validated receipts to the form.

2. The form is signed by the department head and the white and yellow copies are taken to the counter in Financial Services. The pink copy is retained in the department.

3. The individual receiving cash takes the cash payout authorization to the cashier's counter in Financial Services for reimbursement and signs the cash payout authorization to acknowledge receipt.

[Figure 5]

Petty Cash Voucher

Purchased From	Description	Account No. (10 digits)	Amount
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
-	-	-	-
		TOTAL	-

Amount Received	Amount Returned	Total Expenditure	Signature	Date
-	-	-	-	-

Petty Cash Reimbursement Summary

Business Office Use Only				
Description Petty Cash	Invoice Number -	Date -	P.O. Number -	Check Number -
Account Number	**Amount**	**Account Number**	**Amount**	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
-	-	-	-	
		TOTAL REIMBURSEMENT REQUESTED	-	
Signature of Petty Cash Custodian -	Date -	CASH ON HAND	-	
		PETTY CASH FUND TOTAL	-	

[Figure 6]

CASH PAYOUT AUTHORIZATION
FORM 991
BOM: B-j-06

FINANCIAL SERVICES

AUTHORIZING DEPARTMENT USE ONLY

1. LAST NAME FIRST NAME MIDDLE INITIAL

2. SUMMER FALL WINTER SPRING VALIDATION

3. SSN

4. STUDENT STAFF ADULT ED OTHER DATE

5. COURSE OR PAYEE

DESCRIPTION AMOUNT REFUND %

6/7. APPROVAL-DEPT-DATE/APPROVAL-ACCTS/PAY-DATE

8.

FINANCIAL SERVICES USE ONLY

	ACCOUNT NUMBERS	AMOUNT
		$
	TOTAL PAYOUT	$

9. RECIPIENT'S SIGNATURE 3RD PARTY NO.

CASHIER

1. Use last name of the person who is to receive the cash. Last name, skip one space, first name (initials if inadequate space). Only one letter per space.
2. Mark the appropriate term for which the paid out is being requested.
3. Enter social security number of the person who is to receive the cash.
4. Status of person receiving the cash.
5. Give a short description of the transaction.
6. Department head's signature or authorized petty cash custodian.
7. Enter date that approval is signed.
8. Fill in all account numbers and amounts.
9. Signature of person receiving cash must be the same as No. 1 above.

Payment of Invoices

Invoices approved for payment are input online daily by Operations in Financial Services for recording transactions and computer check preparation on the 10th, 20th, and 30th of each month.

Original invoices and statements received from vendors by departments must be sent promptly to Operations in Financial Services so they may be processed and paid. The following invoice processing procedures are used by Financial Services:

1. Certain vendor invoices under a specified amount are processed immediately by Operations. Verification of delivery of the merchandise is not required.

2. Other vendor invoices over the specified amount are processed for payment after the department verifies that the materials or services have been received. This is done by completing the green payment validation copy of the purchase order or by writing "received" on the packing slip along with the receiver's initials and date.

3. "Open" purchase order invoices are issued in limited cases to a vendor for a specified period of time (i.e., a month, year, etc.). At the time the materials are picked up or delivered by the vendor, an invoice is generally given to the individual receiving the material. This invoice should then be marked "received" and signed and dated, then forwarded promptly to Operations in Financial Services.

4. "Prepaid invoices" and C.O.D.s (cash on delivery) are subject to the same dollar limitations as #1 above. Exceptions must be approved in advance by the Director of Financial Services, or his/her designee. Vendors may be required to either submit or authorize credit or Dunn and Bradstreet reports, etc.

If a partial shipment is received, a signed copy of the purchase order, or a copy of the packing slip listing the purchase order number and vendor name, is sent to Operations indicating those items received and those items on back order. When the order is completed, the verification of receipt (green copy of original purchase order) is dated and marked "complete" and sent to Operations. It is necessary for Financial Services to process the partial order invoices to keep the vendor from waiting for payment on items received by the College. Invoices older than 30 days are considered past due and jeopardize the College's credit standing.

Payment or Check Requests (1)

Payment requisition forms may be obtained from the Accounts Payable Office. This form is to be used for the payment of services rendered and prepayments as listed below. This form should not be used for the purchase of merchandise.

When to use the payment requisition (examples):

1. Subscriptions, publications, and memberships

2. Honorariums and speakers

3. Postage

4. Employee and student reimbursement (not for travel expenses)

When to use the purchase order:

1. Merchandise

A complete address is required for payment. If you are paying a private contractor such as a consultant or speaker, his/her Social Security or Federal Identification Number is required for tax reporting. Backup is required for payment: receipts, enrollment form, subscription form, letter inviting the persons to the College, or an invoice. If backup is not available, a memo requesting payment signed by the Vice President of your department is required.

Note: IRS regulations are complicated with regard to the designation of payments as honoraria, stipends, awards, and consulting fees. If you are uncertain about the appropriate classification, please contact Human Resources.

Payment or Check Requests (2)

You may use this form to generate a purchase order, a check, or a cash payment. The lower part of the form contains three blocks for you to indicate which of these items you are requesting.

You should request a purchase order for goods or services with a total cost of $50 or more. The College will routinely pay for such items after the supplier has delivered them and billed for them. You may expedite the purchase of smaller items, goods, or services with a total cost under $50 by having a check to the supplier issued instead of a purchase order. (You must know the exact amount to do this.) The check remittance advice will contain all the order information for these items.

You may have a check issued to yourself or to a third party for reimbursement of purchases under $50 and for any dollar amount of travel and entertainment advances, organizational memberships, dues, stipends or honoraria, and miscellaneous payments. Attach supporting documents. (Use the travel and entertainment expense report for travel and entertainment expenses already incurred.)

You may have cash paid at the Cashier's Window to yourself or to a third party for advances and reimbursements. The amount must be under $50. Amounts of $50 or more must be paid by check. Proper identification is required for cash payment.

The College does not pay or reimburse sales tax. Regular College suppliers already have an exemption certificate on file. You can obtain one from purchasing, if needed.

Fill in all applicable portions of this form completely. Note that the different account numbers may be used for different items on the same form, if that is appropriate. The quantity column should indicate the number of units. The unit column should identify the unit of measure (box, dozen, each, etc.) when known. The form must contain the signature of the department head. Price figures for purchase orders may be estimated. Use one of the three blocks to indicate the importance of the date needed. Also, for purchase orders, include the specific date you need the items. Consider that processing and mail delivery time for both purchase orders and checks will be about five business days. Use the special instructions area for anything unusual that you want to explain about this requisition. Include the payee's Social Security number if a payment for services is being made to a nonemployee rather than to a corporation. This is needed for tax reporting purposes.

This is a three-copy form. Distribute the three copies as follows:

First (white): Send this copy through campus mail to the Purchasing Department for a purchase order, or to the Finance Office for a check. Present it at the Cashier's Window for a cash payment.

Second (yellow): If you are requesting a check or a cash payment, discard this copy. If you are requesting a purchase order, retain this copy until you receive the goods or services ordered. At that time, fill in the columns for the quantity received and the date received and promptly send this copy through campus mail to the Accounts Payable Department. The College will not pay the related invoice until you send in this record of receipt, so promptness is important. If you receive part, but not all, of the order, make a photocopy of the form and use the photocopy to inform Accounts Payable of the receipt of a partial shipment. Do this each time you receive a partial shipment. Use the yellow copy for receipt of the final shipment.

Third (pink): This copy is for your records.

[Figure 7]

REQUEST FOR PURCHASE ORDER, CHECK OR CASH				OFFICE USE ONLY		NO. 45511	
DATE PREPARED	DEPARTMENT	DELIVER TO	PREPARED BY	PREPARER'S PHONE NO.		DEPARTMENT HEAD APPROVAL	
-	-	-	-	-		-	
ACCOUNT NO.	QUANTITY	UNIT	CATALOG NO./ DESCRIPTION	UNIT PRICE	EXTENDED PRICE	QTY. REC'D.	DATE/INITIALS
-	-	-	-	-	-	-	-/-
-	-	-	-	-	-	-	-/-
-	-	-	-	-	-	-	-/-
-	-	-	-	-	-	-	-/-
-	-	-	-	-	-	-	-/-
-	-	-	-	-	-	-	-/-
SPECIAL INSTRUCTIONS	-			TOTAL	-	THE COLLEGE DOES NOT PAY OR REIMBURSE SALES TAX	

_____ PURCHASING: Issuing a PURCHASE ORDER for goods or services.

Prices above are:
A suggested vendor is: ___Catalog ___Quote ___Estimate

_____
Vendor Name

_____
ADDRESS

_____
ADDRESS

_____
CITY STATE ZIP CODE

_____
CONTACT NAME (IF KNOWN) TELEPHONE NO.

THE PURCHASING DEPARTMENT WILL SELECT THE BEST SUPPLIER BASED ON QUALITY AND COST.

___ Mark here if you wish to consulted before final vendor selection

___ This is a purchase order
against AGREEMENT NO._____ Supplier Needs Copy __Yes __No
(Standing P.O. Contract or Lease)

___ This is a CONFIRMING PURCHASE ORDER
(Special approved situations only) Supplier Needs Copy __Yes __No

Standard
Date Needed _____ Date is: ___ Delivery ___ Approximate ___ Critical

_____ FINANCE: Issue a CHECK: a) For purchase of goods or services with total cost under $50.00, if exact amount is known; B) For travel and entertainment advances, organizational memberships, dues, stipends or honorarium and miscellaneous payments, (Attach supporting documents. Discard Receiving Copy.)

Make Check Payable to:

_____
Vendor Name

_____
ADDRESS

_____
ADDRESS

_____
CITY STATE ZIP CODE

Send: __ U.S. Mail ___ Campus Mail Send to: _____

___ Hold for pick-up: Call _____ At ext.___

For non-employee services, provide payee Social Security No.
-|-|-|-|-|-|-|-|-|

____CASHIER: Issue CASH (under $50.00) for advances and reimbursements. (Attach supporting documents. Discard Receiving Copy).

Pay to: _____

_____ _____ _____
Received by (signature) Date Cashier's Initials

Proper identifcation is required for cash payment.

Personal Service Payments

REQUIREMENTS

The University is required by the IRS to report nonpayroll expenditures to noncorporate entities, individuals, and partnerships for personal services. Payments for merchandise are not reportable. University employees' wages are reported through the payroll system.

Corporate payees must complete IRS form W-9 certifying their exemption from 1099 reporting prior to receiving a check from the University. Payees who fail to provide the required information for IRS form W-9 are subject to the 30 percent backup withholding and/or penalties for noncompliance.

The government requires name, address, and taxpayer identification number (Social Security or partnership number) for each individual or partnership receiving payments. Individuals or partnerships that fail to provide this information are subject to the 30 percent backup withholding and/or other penalties for noncompliance. If the individual or partnership is from a foreign country, the government in most cases requires that 30 percent be withheld and remitted. These payments are reported to the IRS on form 1099/1042. A copy of the form is furnished to the taxpayer.

PROCEDURES

It is preferable that the department purchase order for such personal service payments is submitted to the Business Office with the required information. If the documentation is not immediately available, it must be furnished to Accounts Payable before the check can be released.

Examples of service payments include honoraria, computer services, speakers, tutors, etc.

The Business Office maintains records of all such payments and submits the necessary reports to the government. Information is mailed to recipients of such payments after the end of the calendar year.

Travel Expenses (1)

These instructions are intended to make known the College's policy with regard to those expenses that may legitimately be listed on travel and expense reports for reimbursements.

Expenses that may be included follow:

1. Travel costs, including airfare (the lowest fare available) and necessary ground transportation at the destination, including shuttle bus, bus, taxi, other public transportation, or rental car if no other feasible form of ground transportation is available. For automobile travel from the College, mileage will be paid at the current reimbursement rate and tolls, but will be limited to the lowest airfare available. A rental car may be used if no College car is available and you do not have a dependable car at your disposal. To purchase air travel tickets, obtain a reservation form from your supervisor or Purchasing Department.

2. Lodging costs, including the cost of a room and associated taxes, plus parking expenses. The College has obtained tax-exempt status in various states and may deduct tax from hotel rates when prepaid directly by the College. We are subject to a bed tax, which must be paid. The following states apply: Florida, Illinois, Michigan, New Jersey, New York, Ohio, West Virginia, Wisconsin.

3. Meals, including costs for food and nonalcoholic beverages.

4. Registration fees for professional conferences.

5. Tips.

6. Parking costs.

7. Telephone calls that involve College-related business.

8. Costs for entertaining a College guest off campus, including expenses for the guest and up to two College employees, unless previous authorization has been given for additional College personnel. (College dining facilities should be used for entertainment of College guests whenever possible.) An explanation, including the purpose and the names of those entertained, must be attached.

Expenses that may not be included:

1. Travel insurance. The College carries an accident policy that insures employees up to $50,000.
2. Insurance on rental cars.
3. TV movies.
4. Gasoline costs if mileage reimbursement is used.
5. Cost of mileage beyond the amount that would be required to travel by coach-class air.
6. Personal telephone calls.
7. Alcoholic beverages.
8. Dry cleaning or laundry service.
9. Costs for meals, travel, or lodging for spouses or other personal guests.

[Figure 8]

V. _____ P.N. _____

TRAVEL AND EXPENSE REPORT

(DUE WITHIN TEN DAYS AFTER TRIP)

NAME _____ PREPARED BY _____ DATE _____

ADDRESS _____ DEPARTMENT _____

_____ DEPT. HEAD APPROVAL _____ DATE _____

DESCRIPTION OF TRIP AND/OR EXPENSE _____

_____

_____

(See instructions on reverse side)

ACCOUNT DISTRIBUTION (EXCLUDE PREPAID ITEMS)

ACCOUNT #	AMOUNT
↓ TOTAL BELOW	

LIST ALL EXPENSES. ATTACH RECEIPT FOR ANY ITEM OVER $25. *IF ALREADY PAID BY COLLEGE, CHECK HERE* ↓ ✓

DATE	ROOM	MEALS	TRANSPORTATION* TYPE	TRANSPORTATION* AMOUNT	ENTERTAINMENT MEALS	ENTERTAINMENT OTHER	PERSONAL AUTO # MILES	PERSONAL AUTO X $.31*	OTHER MISC. DESCRIPTION	OTHER MISC. AMOUNT	PREPAID	TOTAL
TOTALS												

(PLEASE COMPLETE)

CHECK DISTRIBUTION INFORMATION:

HOLD -- CALL _____ EXT. _____

SEND CAMPUS MAIL TO: _____

SEND U.S. MAIL _____

2/96 pf

*LIMITED TO AMOUNT OF LOWEST AIR FARE AVAILABLE.

FINANCE OFFICE ONLY

EXPENSES	
LESS 10%	
LESS AIRFARE	
LESS PREPAID	
LESS ADVANCE	
TOTAL DUE	$

_____

DEAN'S OFFICE APPR. DATE

LESS PREPAID EXPENSES TOTALED FROM ABOVE ✓ _____

$ TOTAL ACCOUNT DISTRIBUTION ABOVE _____

LESS TRAVEL/CASH ADVANCE RECEIVED:

CHECK NO. _____ CHECK. DATE _____ _____

CASH REQUEST NO. _____ DATE _____ _____

(ATTACH CHECK STUB OR YELLOW COPY OF REQUEST)

AMOUNT DUE COLLEGE/INDIVIDUAL _____

(CROSS OUT ONE)

Travel Expenses (2)

GENERAL

Travel at the expense of the College must be in connection with official college activities. Travel by employees for College business or by students traveling for official purposes must be approved in advance by the President or the President's designee. The President may delegate authority to approve travel requests to the extent that competent decisions concerning the nature and necessity of the travel can be ensured

The President can delegate the authority to approve reimbursable travel to the employee's department head or equivalent administrator. Approval for travel is requested by submission of a travel requisition or other applicable form. After approval by the appropriate administrator, the form is sent to the Controller's Office. If it is necessary to change the amount of a travel requisition, it should be requested by memorandum to the controller rather than by submission of another requisition.

ADVANCE PAYMENT OF TRAVEL EXPENSE

When a registration or similar fee related to the purpose of an employee's travel requires payment in advance of the travel date, a regular requisition, with other expense (OE) designated as the primary object, should be submitted with documentation attached. The College will then remit payment directly to the applicable organization.

When it is necessary that fares for transportation be paid more than five days prior to a scheduled trip, this fact should be noted on the travel requisition and the College will make payment for the transportation portion of the advance directly to the travel agency, and the remainder of the advance will be given to the traveler shortly before the trip.

If the estimated cost of an approved trip exceeds $25, the Controller's Office will provide the employee an advance of up to 90 percent of the estimated cost, provided the advance is requested on an approved travel requisition then is submitted to the Controller's Office no later than five working days prior to the date the check is needed. It should also be noted that travel advances will not be released more than five days before the travel is to begin.

EMERGENCY TRAVEL

On rare occasions, knowledge of upcoming travel will be of such short notice that the policy in 2.2 cannot be adhered to. If it can be demonstrated that this situation exists, a travel check will be prepared without requiring the normal lead time. However, 24 hours is the minimum amount of notice required to prepare an emergency travel check.

SUBSTANTIATION OF EXPENSES

In general, receipts for expenses incurred by the employee must be attached to the claim that is submitted for reimbursement. Receipts are also required to substantiate all travel advances, regardless of whether the actual expenses incurred were less than or more than the amount of the advance. Receipts are required for expenses except (1) mileage for use of personal vehicles, (2) meal expenses, and (3) certain miscellaneous expenses such as taxi fare and fees to store or transport baggage. However, total miles traveled as well as the license number of the vehicle used must be submitted when claiming expenses for use of personal vehicles. Departure and arrival times must also be reported so the amount of meal reimbursements can be properly computed.

The signed goldenrod copy of the travel requisition, the receipts, and any other substantiation must be submitted to the Controller's Office no later than 14 calendar days after returning from a trip. Failure to comply with this policy eliminates all travel advance privileges for that employee's department until proper substantiation is received by the Controller's Office. Noncompliance with this policy does not prevent an employee from traveling and receiving reimbursement for legitimate travel expenses, but does preclude future advances.

THIRD-PARTY REIMBURSEMENTS, REBATES, PROMOTIONS

When a state employee's travel has or will be paid by the state and the employee's travel costs are also reimbursed by a third party, such as the federal government, the third-party reimbursement becomes property of the state.

Similarly, any discounts, rebates, promotions, or similar benefits resulting from travel paid by the state become state property. Examples of such items include, but are not limited to the following:

- Free or reduced future airfare, or other travel costs
- Cash rebates, U.S. savings bonds, or similar benefits for staying at a particular hotel or motel

Travel Expenses (3)

AIR TRAVEL

When the most efficient means of transportation is air travel, reimbursement will be limited to coach fare except for the instances noted below. An employee may upgrade his or her travel class at anytime by paying the incremental cost. First-class air accommodations may only be reimbursed by the University under limited exceptions, such as when accommodations less than first class would:

1. require travel during unreasonable hours;
2. result in additional costs that would offset the transportation savings; or
3. offer accommodations which are not reasonably adequate for the medical needs of the traveler.

FOREIGN TRAVEL

Foreign travel requires full compliance with the University's travel policy. Additionally, specific review and prior approval by the manager of sponsored research accounting, and in most cases by the awarding agency, are required if travel chargeable in whole or in part to grant/contract funds will be outside the United States, its possessions, or Canada.

TRANSPORTATION TO AND FROM HOTELS AND TERMINALS

Whenever practical, the most economical mode of transportation should be used to and from hotels and terminals (air and rail). These expenses (including gratuities) will be reimbursed. Many hotels provide complimentary shuttle service to and from airports. The traveler should inquire about this service when making hotel reservations with the University's travel agent.

CONFERENCE REGISTRATION FEES

Payment of conference or meeting registration fees may be settled through a travel advance paid directly to the conference organizer or by a personal check or credit card. A copy of the conference or meeting agenda must be attached to the expense report.

AUTOMOBILE RENTALS

Automobile rentals should be limited to situations where other means of transportation are not practical, economical, or available, and to emergency situations. The most economical car should be used as a general rule. The University has corporate account numbers for discount rates available with several car rental agencies. When the traveler rents a car and uses the University's corporate American Express card, the collision damage waiver insurance does not need to be purchased. In all other cases it is important to purchase this coverage.

PERSONAL AUTOMOBILE TRAVEL

Reimbursement for use of personal automobiles by employees traveling on University business will be at the current University-approved mileage rate. Contact the Accounting Office to obtain the current rate. Gas, oil, insurance premiums, repairs, or other costs presumed included in the mileage rate will not be reimbursed. Fines for automobile violations or personal misconduct will not be reimbursed.

LODGING

Hotel reservations can be made by contacting the University's travel agent, who can arrange preferential rates with hotels in major cities throughout the United States. The traveler can stay at the hotel where a meeting, convention, or conference is being held, or at a nearby moderately priced hotel. The actual hotel bill is required for reimbursement. Hotels should be guaranteed for late arrival with the traveler's personal credit card.

ENTERTAINMENT

Reimbursement will not be made for entertainment expenses not related to University business, such as, but not limited to, in-room movies, theater, or optional conference-related side trips.

MEALS

Reasonable expenses incurred for business meals while on a University business trip will be reimbursed. Reimbursement will be made for all actual costs (including gratuities). Receipts are requested for all expenditures, but are required for any one meal over $25. Names of guests and their professional affiliation must be included on the expense report.

ALCOHOLIC BEVERAGES

Alcoholic beverages are generally not reimbursable expenses. Federal regulations prohibit the University from reimbursing any expenditures for alcoholic beverages with federal funds. Reimbursement for alcoholic beverages from nonfederal funds must be approved by the appropriate supervisor. Any alcoholic beverage must be charged to subcode .3199 (unallowable costs). Using this subcode enables the University to exclude the cost of alcohol from its federal indirect cost calculation.

GRATUITIES

The reasonable costs of gratuities to porters, bellhops, and other service personnel will be reimbursed.

TELEPHONE CALLS

Telephone calls related to University business will be reimbursed.

LAUNDRY AND VALET SERVICES

Reasonable charges for laundry and valet services will be reimbursed. Receipts and/or supporting documentation are required for reimbursement.

MISCELLANEOUS TRAVEL ITEMS

Travel Insurance

The University provides life insurance for employees traveling on University business. Please consult the Assistant Treasurer for questions on the extent of coverage. Coverage begins upon departure from the place of business or residence and continues on a full 24-hour basis until return to the place of business or residence, whichever occurs first. Commutes to and from work are excluded. Coverage is further subject to the terms and conditions of the University insurance contract.

Some companies offer travel accident, sickness, baggage, trip cancellation, and flight insurance at very reasonable rates. This insurance can be purchased through the University's travel agent at the traveler's expense.

Corporate American Express Card

As a convenience to frequent travelers, the University provides American Express corporate cards. To apply for a corporate credit card, fill out an enrollment form available from the Treasury Office. Upon approval of the application by your supervisor, you will be issued an American Express card. Each individual is personally responsible for the payment of the American Express charges. Reimbursement for these business-related charges can be submitted to the University through a travel expense report.

Conferences, Conventions, and Seminars Travel Discounts

Often the organizers of conferences, conventions, and seminars will announce discounted fares for transportation and lodging that may be obtained by arranging travel through their organizations. It is suggested that the traveler first call the University's travel agent with conference-rate file information to ensure that the least expensive arrangements are being provided. In the case of similar prices (i.e., sponsoring organization versus the travel agent), the traveler can make all arrangements with the University's travel agent in order to have seat assignments, boarding passes, and quality control monitored.

Travel with Companion

The University will not reimburse personal, spouse, or companion travel and other travel-related expenses. The employee is responsible for allocating only his or her portion of expenses on the travel expense report and for identifying them on the hotel, restaurant, transportation, and other receipts. The University will pay only the single rate at hotels.

Authorized Travel by Nonuniversity Employees

When travel is approved by a duly-authorized University officer for an individual who is not an employee of the University, reimbursement will be provided in accordance with the University's general travel policies. The department authorizing travel should make all transportation and lodging arrangements through the University's travel agent.

Receipts

Original receipts are requested for all expenditures, but are required for all expenses over $25. These receipts must be submitted with the expense report. For expenses related to one-day trips, all receipts are required.

Cost Saving Considerations

When planning your itinerary, consider the following cost-saving strategies:

Stay over one Saturday night at your outward destination. Most deeply discounted airfares require staying over a Saturday night. Compare the cost of including one Saturday night versus departing on Sunday. If the savings in airfare exceeds the cost of Saturday hotel and meal expenses, the traveler is encouraged to stay over Saturday night. The University will reimburse the traveler for Saturday lodging and meal expenses.

Make reservations in advance. Deeply discounted fares have strict advance purchase requirements of 30, 21, 14, or 7 days in addition to the Saturday night stay requirement. Other fares that do not require a Saturday night stay still offer substantial discounts for booking seven days or more in advance. Most advance-purchase airfares also carry substantial penalties for change or cancellation.

Be flexible in selection of airlines and times of travel. One airline may have a promotional fare not offered by competing carriers. One airline offering single-stop or change-of-plane service may offer substantially lower fares to compete with a carrier flying nonstop. Time of day and day of the week may also influence airfares.

Plan meetings, conventions, and seminars for groups. Groups with as few as 10 enrollees may leave from and return to a multiple of cities and within a range of dates. All passengers need not travel on the same flight round trip to be eligible for group discounts.

Compare fares from the four regional cities. The four regional airports offer different discounts and promotions. Often, one of these airports has a much lower fare.

Promote the local airport. When all four gateway cities have similar fares, choose the local airport. It supports the community and saves limousine cost for travel to other more remote airports.

Look for special promotional fares. Identify yourself as being flexible and willing to explore special fares and promotional opportunities on alternate dates and times if you are in fact flexible.

Use frequent flier awards and coupons. These awards can be used to reduce airfares. However, the University in general agrees that frequent flier points accumulated by employees traveling on University business belong to the individual, not to the University. The traveler, in turn, has a responsibility to the University never to elect more expensive travel alternatives in order to accrue frequent flier mileage credit.

EMPLOYEE BENEFITS

Introduction

Once we called them "fringe benefits," but they are not really fringe anymore. In many organizations, benefits are a significant part of total compensation. Their value may be as much as 25 or 30 percent of salaries and wages. While exact offerings vary from place to place, certain components have become quite common. These include paid vacations and holidays, sick leave, retirement plans, group insurance plans (health, dental, life, disability), and for colleges and universities, tuition remission or exchange. Often overlooked by employees or thought of solely as taxes are the government-mandated plans—Social Security, workers' compensation, and unemployment insurance.

Usually employee benefit plans contain a carefully balanced package of offerings. Vacation will be integrated with personal leave, sick leave with disability insurance, and retirement and health insurance with tax-sheltered accounts. For this reason, we have chosen to present in this section two complete plans, one taken from an independent college, the other from a state-supported college.

Independent institutions generally enjoy more freedom in designing benefit plans than public ones do. They also, however, must carry the full financial and administrative burden. Employees at public colleges may be enrolled in various plans designed and administered by the state government and available to state employees, generally. These plans may be supplemented by other benefits provided directly by the institution.

The written benefit plans must define eligibility clearly and unambiguously. This is not always as easy as it sounds. Reference must be made to exact definitions of full-time and part-time, and to any other categories of workers with different benefits.

Even with sophisticated computer systems, the administration of employee benefits is a significant task. The institution's personnel office must enroll participants, calculate and remit premiums or other forms of payment, file ERISA and other government reports, and inform and counsel employees about benefits. Certain plans must pass rigid antidiscrimination tests to remain tax free.

Many employees still do not really understand what they have, even after reading the benefits handbook and the individual booklets supplied by the various benefits carriers. Periodic oral presentations to groups, with question-and-answer periods, as well as individual counseling, contribute to employee morale and well-being.

A sophisticated accounting system will recognize the various cost drivers behind employee benefits. Vacation, holiday, and sick pay are a continuation of salaries and wages. Social Security, workers' compensation, and unemployment compensation charges are a percentage of total salaries and wages. Retirement typically is a percentage of the pay of eligible employees only. Health and life insurance premiums will usually be fixed-dollar amounts per number of eligible employees, related to type of coverage but unrelated to amount of pay.

A competitive and well administered benefits program will contribute significantly to employee recruiting and retention.

Employee Benefits—Independent College

ELIGIBILITY

Full-time employees (those hired on a full-time basis and working continuously a minimum of 1,500 hours during a calendar year or teaching a minimum of 35 credit hours during a calendar year excluding summer months) are eligible for full fringe benefits. Employees who are hired on a part-time basis and work a minimum of 1,500 hours during a calendar year or teach a minimum of 35 credit hours during a calendar year excluding summer months may apply for health, life, or disability insurance after one year of service, provided they are not covered for such benefits by other employers. Benefits granted to qualified part-time employees are subject to annual review. They will be terminated for those who are not actively on the payroll and for those who do not maintain the required workload from year to year.

Part-time employees have special eligibility requirements for retirement and tuition-remission benefits, which are more fully explained under their specific headings.

BENEFITS AVAILABLE FOR COLLEGE EMPLOYEES INCLUDE THE FOLLOWING:

- Health Insurance
- Comprehensive major medical hospitalization insurance
- Health maintenance organization
- COBRA benefits
- Retirement plan
- Tax-deferred annuity plan
- Supplemental retirement annuity plan
- Life insurance
- Paid sick leave
- Pregnancy leave
- Parental leave
- Adoption leave
- Disability insurance
- Tuition benefits
- Educational assistance
- Paid holidays
- Paid vacation
- Faculty/staff housing
- Courtesy fund
- Leave for death in family
- Jury duty
- FICA (Social Security)
- Mortgage loan fund
- Workers' compensation
- Other benefits

HEALTH INSURANCE

All full-time employees are eligible to participate in either the Comprehensive Major Medical (Traditional) Plan, a Preferred Provider Organization (PPO) Plan, or a Health Maintenance Organization (HMO) Plan carried by the College. Both single and family coverage are available. Each individual is required to contribute a share of premium costs based on job category, the level of coverage, and the premium share schedule for the current year.

Employees are eligible to enroll in one of the health insurance plans, effective on the date of hire.

Details on the health insurance plans carried by the College are available at the Personnel Office and may be picked up when applying for these benefits at the time of employment.

The Consolidated Omnibus Budget Reconciliation Act (COBRA) allows employees who lose health coverage because of termination or a reduction in the number of hours of employment, or employee dependents who lose coverage because of death of the employee, divorce, legal separation, or because of the 23-year-age limitation for dependent children, to continue their coverage ranging from 18 to 36 months provided:

1. they exercise their option for continual coverage within 60 days after the date of loss of coverage,
2. they pay the applicable monthly premium plus a 2 percent administrative charge on a timely basis,

3. the employee or dependent does not qualify for coverage under another group health plan or Medicare, and

4. the College continues to offer the health plan in which the employee or dependent was enrolled.

It is your responsibility to inform your spouse and children of their COBRA rights under the law and to inform the College in writing when a member of your family becomes eligible for COBRA benefits.

UNINSURED MEDICAL REIMBURSEMENT ACCOUNT

Full-time employees may participate in a medical reimbursement account plan sponsored by the College. This benefit program allows you to pay for health care expenses not covered by the College's medical plans, using pretax dollars. You can set up this "account" with "pretax" dollars through payroll reductions and use the money you set aside to reimburse yourself for expenses not covered by the College medical plans:

- Deductibles
- Copayments
- Vision care
- Routine physical examinations

This account cannot be used for nonprescription drugs and supplies.

You will save the federal and state income taxes and Social Security tax on the amount of your reimbursement.

Full-time employees are eligible to participate as of the first of January following their date of employment. December is the enrollment period. Annual enrollment is required. You may deposit up to $5,000 per calendar or plan year in your medical reimbursement account.

The Internal Revenue Service has set certain rules and regulations, which must be carefully considered before enrolling in a medical reimbursement plan:

1. You cannot change your deposit amount during the plan year, unless justified by a change in your family status.

2. Medical expenses reimbursed through your medical reimbursement account cannot be taken as federal income tax deductions.

3. Any amount left over in your account after all qualified claims have been processed at the end of the plan year will be forfeited.

DEPENDENT CARE REIMBURSEMENT ACCOUNT

The College operates a dependent care reimbursement plan to provide its full-time employees the option of electing to reduce their taxable earnings by the amount of their payments in qualified dependent care expenses.

You may set up a "dependent care reimbursement account" with "pretaxed" dollars through payroll reductions and use the money you set aside to reimburse yourself for dependent care expenses.

Full-time employees are eligible to participate as of the first of January following their date of employment. December is the enrollment period. Annual enrollment is required. You may deposit up to $5,000 per calendar or plan year in your dependent care reimbursement account.

They must be for children under 13 or for dependent adults living with you. The day care must be necessary to enable you (and your spouse, if applicable) to work. Reimbursements can include amounts paid to day-care centers, nursery schools, or sitters who are not your own dependents.

The Internal Revenue Service has set certain rules and regulations, which must be carefully considered before enrolling in a dependent care reimbursement plan:

1. You cannot change your deposit amount during the plan year unless justified by a change in your family status.

2. Expenses reimbursed through your dependent care reimbursement account cannot be taken as federal income tax credits.

3. Any amount left over in your account after all qualified expenses have been claimed at the end of the plan year will be forfeited.

LEAVE FOR DEATH IN FAMILY

A maximum three days leave of absence with pay may be granted in the case of death in the immediate family (father, mother, sister, brother, grandparents, wife, husband, children, in-laws) of full-time employees. Part-time employees are not paid for days off because of death in the family.

RETIREMENT

The retirement plan is available to all eligible employees. Both the College and the individual employee contribute to this plan. Contributions by participants are either deducted from the employee's monthly or bi-weekly salary after taxes, or, if elected by the participant, may be made on a tax-deferred basis, which is explained under the heading "Tax Deferred Annuity."

All eligible employees may begin participation on a voluntary basis on or after the first day of the month after the completion of one year of service at the College. Employees hired after December 31 must complete one year of service and also be at least 21 years of age to begin participation in the plan.

Contributions to the plan for all eligible employees are as follows:

	Percent of Regular Salary*		
	By Participant	By College	Total
On salary within Social Security earnings base	3%	7%	10%
On salary above Social Security base	5%	10%	15%

*Regular salary is defined as only contract or base salary for full-time employees. Regular salary for part-time faculty members means only 20 teaching credits multiplied by the individual's lecture rate; and regular salary for part-time administrative and staff members means only 1,000 hours multiplied by the hourly rate of pay.

Eligibility

A faculty member who has taught a minimum total of 20 credit hours during a calendar year excluding summer months is eligible for the retirement plan. An administrative or staff member who has worked a minimum total of 1,000 hours during a calendar year is eligible for the retirement plan. If an employee does not complete the required hours of service by the first anniversary date of employment, the hours completed do not count towards establishing a year of service.

Hours of Service

For purposes of this plan, an hour of service shall mean each hour (1) for which an eligible employee is paid or entitled to payment by the College for the performance of his or her duties with the College, including hours for which back pay has been awarded or agreed to by the College, provided that no additional hours of service shall be credited as a result of an award of back pay, if the employee has already received credit for those hours; and (2) for which an eligible employee is paid or entitled to payment for reasons other than for the performance of duties during the applicable period, due to vacation, holiday, illness, or incapacity (including short term disability), jury duty, military duty or family and medical leave of absence, including paid maternity/paternity leave and time off due to injury on the job.

In no event, however, will an hour of service include hours for which an eligible employee is paid or entitled to payment for reasons other than the performance of duties in excess of 501 such hours in a continuous period of such hours, or in excess of the regularly scheduled hours for the performance of such duties for such a period of time. Hours of service other than those credited for performance of duties, shall be determined on the basis below:

1. If the payment for a period of time not involving performance of duties is made for a specific unit of time, the determination is based on number of hours regularly scheduled for performance of duties for such unit of time. If a specific number of hours is not regularly scheduled for a specific unit of time for an employee, the determination will be based on 40 hours per week as applied to such unit of time.

2. If the payment for a period of time not involving performance of duties is determined on a basis other than a specific unit of time, by dividing the payment by the eligible employee's most recent hourly rate of compensation.

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Break in Service

An employee may experience a break in service if, after participation in the plan begins, the hours of service required for eligibility are not maintained on a continuous year by year basis. A break in service will result in a suspension of participation in the plan. The suspension of participation will begin in the calendar year immediately following the year in which the break in service occurs and will continue until a new eligibility has been established over at least a 12-month period.

Tax-Deferred Annuities

As an employee of the College, a nonprofit organization tax exempt under Section 501(c) (3) of the Internal Revenue Code, you may arrange with the College to divert a portion of your salary before taxes to purchase retirement annuity benefits in accordance with tax-deferral provisions in Sections 403(b) and 415 of the Code and related Treasury Regulations. This salary-reduction option is the method used by many educators for payment of regular employee contributions to the institution's retirement plan. It can also be an advantageous way to set aside extra funds for the future, over and above those accumulating under a retirement plan.

To invest in a tax-deferred (or tax-sheltered) annuity, you and your employer enter into a written agreement under which you authorize a reduction in salary in order to release funds for your employer to pay as premiums on an annuity contract that is fully vested in you. Within the limits prescribed by law, such premiums are not taxed to you currently; rather, they and their earnings will be taxed when you receive them as benefits. When you receive the benefits in the form of annuity income during your retirement years, you are likely to be in a lower tax bracket. But the tax advantage of the salary-reduction method as a means of saving for the future does not depend on a lower tax bracket during the retirement years.

In contrast to after-tax-savings methods, the money you do not pay out in current taxes goes into your annuity contract and accumulates with investment earnings.

For example: Assume you are in a 28 percent tax bracket and can get along with $1,000 of take home pay, after taxes. You can either pay your tax currently on this $1,400 of salary, which leaves $1,000 for savings, or you can take a salary reduction of $1,400 and channel the full $1,400 into a tax-deferred annuity. Either way, you have $1,000 less to spend currently, but the salary-reduction method puts about $400 more each year into your retirement savings. Because of the earnings on money you do not pay to the government and the resulting build up of funds you would not otherwise have, the salary-reduction approach is likely to work to your advantage, even if you are not in a lower tax bracket when benefits are received.

Nondiscrimination Rules

The College reserves the right to protect the tax-exempt status of this retirement plan. Therefore, any amount of excessive contributions made by the College to persons classified as "highly compensated," which jeopardize the tax-exempt status of this plan under the nondiscrimination rules of federal laws, may be withdrawn from the individual contracts of such highly compensated persons and distributed to them as taxable income.

LIFE INSURANCE PLAN

All full-time employees up through age 69 are eligible for $50,000 of group term life insurance benefits. The amount of life insurance is reduced to $25,000 at age 70. The College pays the cost of this insurance program.

Employees are eligible to enroll in the life insurance plan on the first of the month after the date of employment or promotion as a full-time employee.

Details of the life insurance coverage may be found in the pamphlet entitled "Group Insurance Benefits," which is distributed at the Personnel Office at the time of enrollment.

TUITION BENEFIT

Full-Time Employees

All full-time employees (including full-time hall directors) are eligible immediately after employment for 95 percent tuition remission for regular undergraduate and graduate classroom instruction. This includes day, evening, weekend, and summer sessions. The employee pays 5 percent of the current tuition rate.

The spouses or domestic partners of full-time employees shall be eligible for undergraduate and graduate remission based on the length of continuous service of the employees as follows: after one year of service, 45 percent; after two years of service, 70 percent; after three years of service, 95 percent.

The children through age 25 (including stepchildren, wards, and other children of domestic partners) of full-time employees shall be eligible for tuition remission for undergraduate work only, based on the length of continuous service of the employee as follows: after one year of service, 45 percent; after two years of service, 70 percent; after three years of service, 95 percent.

Under current laws, tuition benefit granted to a domestic partner or children of a domestic partner is taxable income to the employee.

Retired or disabled full-time employees and family members who qualify for tuition benefits prior to their retirement or disability shall continue to receive these benefits subject to the same limitations as full-time active employees.

The spouses or domestic partners and children of full-time employees who die during their active employment with the College shall be entitled to tuition benefits.

The combined total tuition benefits of an employee and family members may not exceed 95 percent of two full-time tuitions in any given year.

Any full-time employee who carries 12 or more undergraduate credit hours during a regular academic term (fall, winter, and spring quarters) or 10 or more undergraduate hours during a summer session shall receive no more than 45 percent tuition remission for that term in which the full-time course load is carried. Employees shall not take courses that conflict with their required regular working hours.

Part-Time Employees

Part-time faculty members shall receive:

- 95 percent of one hour of tuition credit for each credit hour of teaching services per year,
- 66 percent tuition credit for each hour of part-time conservatory-studio teaching service, and
- 50 percent tuition credit for each hour of part-time conservatory-preparatory teaching service.

Part-time nonacademic employees shall accrue tuition credits equal to the total hours worked within a year divided by 52 weeks, after the employee has completed six months of service and reached age 21. For example, if an employee works 520 hours in one year, the employee would receive 10 hours of tuition with 95 percent of the cost waived.

The part-time employee must be actively employed in the year in which tuition benefits are used. Tuition credits for part-time employees must be used within two years following the year in which they are earned.

The tuition credits earned by part-time employees may be applied to undergraduate and graduate course work for the employee and spouse or domestic partner. Only undergraduate course work is covered for children through age 25 (including stepchildren, wards, and other children of domestic partners).

The combined total tuition benefit for the part-time employee and family members may not exceed 95 percent of one full tuition in any given year.

Part-time employees shall not take courses that conflict with their required regular working hours.

Currently, active part-time employees who worked at least 1,000 hours or taught at least 20 credit hours during the last prior calendar year, and who had previously completed a minimum of seven years of full-time service at the College before becoming part-time, shall maintain their full-time tuition benefits.

Guidelines for Tuition Benefits

1. The benefit is available for regular classroom instruction in classes where minimum enrollment is already established. This excludes remission for field experience and independent study unless the study is part of fall, winter, or spring, full-time day division course load. Other exclusions include, but are not limited to, private music lessons, assessment of prior learning portfolio evaluations, etc. Student teaching will be covered.

2. Employees who wish to apply for this benefit must complete an application form and submit it to the Office of the Associate Academic Dean. The forms are available in the Financial Aid Office.

3. The employee and family members taking courses at the College under this benefit must apply for and receive regular admission to the College.

4. The purpose of the Tuition Benefit Program is to provide the employees of the college and their dependents an opportunity to improve their education. This benefit is, therefore, not available to individuals who are primarily students at the College or other institutions of learning and whose employment at the College is incidental to their status as students.

5. In a situation where the above criteria do not determine a person's eligibility for tuition benefits, being a legal dependent of the employee is an important factor in determining the person's eligibility.

Definition

The retirement plan's definition of domestic partner applies to this section: "Domestic partners are adult individuals who are not related by blood; have resided together continuously for at least six months and intend to reside together on a permanent basis; are mutually responsible for their common welfare; and maintain no other domestic partnership or marriage."

PAID VACATION AND HOLIDAYS

Only full-time nonacademic employees (minimum 1,500 hours per year) are eligible for paid vacation.

Vacation is earned each pay period from date of hire. Full credit is given to individuals who work at least half of the pay period. Vacation time does not accrue while an individual is on sick leave, parental leave, or short-term disability.

The anniversary date of full-time service is the point at which you begin to earn a new level of vacation days.

The following is a schedule of the maximum vacation time granted for general workers, service workers, service specialists, craft persons, craft supervisors, nurses, technicians, receptionists, clerks, data entry staff, office specialists, secretaries, office managers, and administrative assistants.

Years of Service	Vacation Days Earned Per Month	Maximum Vacation Days
1–5	1.0	10
6	1.1	11
7	1.2	12
8	1.3	13
9	1.4	14
10	1.5	15
11	1.6	16
12	1.7	17
13	1.8	18
14	1.9	19
15 and over	2.0	20

Technical specialists, academic support specialists, administrative staff, administrators, managers, and senior managers earn two days for each month actually worked up to a maximum of 20 working days, beginning from their first year of service.

Employees who are newly hired or promoted from part time to full time are required to complete at least six months of full-time employment at the College before using any of their vacation time.

The employee is paid for vacation days at normal or average week's pay. For example, a paid vacation day for an employee whose normal workday is six hours will be for six hours.

Employees may not receive pay in lieu of vacation.

Individual supervisors are responsible for arranging vacation schedules for their departments and will honor the employee's request when possible.

Unused vacation days may accumulate only to the employee's annual maximum.

Paid Holidays

New Year's Day

Good Friday

Memorial Day

Fourth of July

Labor Day

Thanksgiving Day and the following day

Christmas Day

Other days off granted by the officers of the College

An employee must work on his or her regularly scheduled day of work before and after a holiday in order to be paid for the holiday unless a doctor's excuse is presented showing that the individual was ill.

PAID SICK LEAVE

Full-time employees earn one day of sick leave for each calendar month worked. Full credit for a partial month worked is given to individuals who actually work at least half of the month. Sick time does not accrue during sick leave or short-term disability, but does accrue during vacation. Sick time may be accumulated up to a maximum total of 60 days.

Sick time may be used for any illness and may also be used during times of pregnancy that require time off from work. The length of time off due to pregnancy is determined by the employee's physician. Payment during this time will be covered first by the paid sick leave policy and then by the short-term disability policy.

Sick time may also be used to care for the illness of the employee's spouse, child, parent, or significant other for whom the employee has primary care responsibility.

The College, through the employee's supervisor, reserves the right to request proof of illness from a physician in any case where the employee is absent due to illness or where requests to use sick time because of the illness of spouse, child, parent, or significant other.

SHORT-TERM DISABILITY INSURANCE

Full-time employees who get ill after they have used up their accumulated sick time, or get ill before accumulating any sick time, may file a claim for short-term disability at 80 percent of pay. Short-term disability coverage will start on the sixth scheduled work day of continuous absence due to illness or on the day after accumulated sick leave is used up, whichever is later.

The claim form for short-term disability must be approved by the department supervisor, attached to a physician statement (on physician's letterhead) indicating the physician's recommended number of days off work and submitted to the Payroll Department. Each claim for short-term disability is limited to the number of days off recommended by the physician. Short-term disability may be allowed up to a maximum of six months of continuous illness, including sick time paid for the same illness. For payment of loss time due to on-the-job injury, see "Workers' Compensation."

Note: In order to ensure a safe working environment for any employee, the College may, under special circumstances, require the employee to obtain a physician's statement certifying whether or not the demands of the employee's job function and work environment would endanger the health and safety of the employee during the period of illness.

PARENTAL AND ADOPTION LEAVE

Parental leave is herein defined as optional time off work that may be taken after a physician has determined that a mother is medically able to return to work (end of sick leave or short-term disability) or in the case of a father, optional time off work taken to attend to a member of his immediate family for pregnancy-related causes. Parental leave time may be taken up to three months. During this time, the College will pay 50 percent of the employee's salary through the first six weeks of use. After that time, an additional six weeks of time off

work may be added without pay or the employee, with supervisor approval, may work part time receiving part-time payment for hours worked.

Vacation days may be saved and used during this time period in order to ensure 100 percent of pay.

Adoption leave is herein defined as optional time that may be taken by an adoptive parent to welcome a new child into the home. The leave applies in the case of adoptive children who are not yet old enough to attend first grade in school. The first six weeks of adoption leave are paid at the same rate (50 percent) as parental leave. An additional six weeks may also be taken without pay or at part-time pay for part-time hours worked.

Eligibility

Eligibility for both parental and adoption leave requires at least two years of full-time service. An employee may not assume any other employment while taking parental or adoption leave.

The College will guarantee continued employment in an equivalent position for absence due to sick leave, short-term disability, parental or adoption leave up to a maximum of six months.

LONG-TERM DISABILITY INSURANCE

Available for all full-time employees, this plan ensures payment of 60 percent of earnings prior to disability up to a maximum of $4,500 per month and also pays the base monthly retirement premiums for the length of the disability, up to retirement age. The College pays the cost of this insurance program.

Coverage begins on the first of the month after the date of employment or promotion as a full-time employee. Benefits which become effective after six months of total disability are determined by medical reports and are intended to supplement Social Security disability income.

FACULTY/STAFF HOUSING

The College owns a limited number of residential properties, which provide rental housing for faculty and staff members. Some of these are single homes and others are apartments. The rental housing is maintained for the primary purpose of providing transitional housing for persons who are new to the College's faculty or administration. College rental housing is not intended for long-term residence. Market rents are charged. No element of compensation is involved.

Rental applicant categories in order of priority are:

1. New full-time members of the faculty and administration moving to town from other locales (Note: All applicants remaining in this category on April 1 of the year following employment will be placed in priority 2.)
2. Current full-time members of the faculty and administration
3. Other full-time staff

Within each priority group, applications will be considered in the order received. Rental property that becomes available on or after April 1 is held until September 1 for priority 1 applicants. Apply in writing to the director of purchasing. Initial leases may be up to three years. Renewal is not encouraged. One-year renewals are possible only if the College does not expect to need the unit for new members of the faculty and administration. All leases terminate if the individual leaves college employment at the end of the month in which employment terminates.

Rent is paid through automatic payroll deduction.

Make requests for repairs, including emergencies, to the Director of Buildings and Grounds.

MORTGAGE LOAN FUNDS

The College will consider mortgage loans from college funds to relatively new full-time faculty and administrative staff members to enable them to purchase their first home in the campus area. At various times the College has made such loans to provide either lower interest rates or to accept lower down payments than were available from financial institutions. However, when mortgage loans with moderate interest rates and low down payments are readily available, the College will consider making loans only in unusual situations.

Applicants should apply in writing to the Vice President for Finance. They must explain fully why they could not obtain a satisfactory loan from a financial institution. Final approval will be by the Investment Committee of the Board of Trustees.

COURTESY FUND POLICY

The College maintains a courtesy fund, administered through the Chaplain's Office, for the purpose of providing flowers from the College faculty and staff for employees or members of their immediate families (i.e., spouse or child) in the event of hospitalization (including births) or death in the family.

In the event that a family requests charitable contributions in lieu of flowers for a death, contributions of $20 will be made to a college fund, such as scholarships or libraries.

Please call the Chaplain's Office concerning illness or a death of a fellow employee or family member.

EDUCATIONAL ASSISTANCE

The College will pay 50 percent of the tuition involved in all graduate work being undertaken by full-time administrative staff leading to an approved degree beyond the master's degree up to a maximum of $1,000 per program.

RETIREES AND SURVIVORS GROUP HEALTH INSURANCE

The College maintains retirees groups under its health insurance programs. A retiree and dependents may enroll in a retiree group provided the College is reimbursed the full cost of premiums paid. The College remits directly to the insurance companies the premiums required to maintain the groups' coverage and seeks reimbursement from each subscriber through convenient monthly or quarterly billings. A retiree group enjoys the same level of benefits as the related group for active employees; it is also subject to the same changes in coverage and rate increases.

Surviving enrolled dependents of a retiree or of an active employee may continue their enrollment by paying the premiums, for as long as they meet the eligibility requirements specified in the plan's handbook. Those requirements currently contain an age limit for children.

If retirees or dependents are eligible for Medicare, their coverage under the retirees groups will be supplemental to Medicare or Medifil. Retirees previously covered under the Preferred Provider Organization (PPO) Plan may enroll in a comprehensive major medical retiree group. There is no retiree group under the PPO Plan.

The definition of a retiree under the Health Care Retiree Group Program is one who is at least 55 years old with at least five years of continuous service at the time of separation from the College and whose stated reason for leaving is retirement.

OTHER BENEFITS

Food Service employees are provided meals, which are specified at time of employment.

Required uniforms will be furnished.

Employee Benefits—State-Supported College

EDUCATIONAL PRIVILEGE

Preface

Enrollment at the College for reduced fees ($20 registration plus $5 a credit) is a privilege extended to the following members of the College community: (1) salaried College employees on regular appointment who work half-time or more (including those on official leave) and their spouses, (2) faculty members emeriti, honored staff retirees, and their spouses, (3) widows or widowers whose spouses' death occurred while they were in the employ of, on official leave from, or retired from the College, (4) part-time faculty (teaching nine credits or more during a semester) and their spouses during their term of employment, (5) employees and spouses of City University and State University, and (6) employees of Northern State College and other approved agencies under the direction of the State Board of Education. This privilege is subject to the provisions, interpretations, and limitations contained in the following subsections.

Administrator's Approval Required. Prior to registering for coursework, the written approval of the employee's supervisor, the appropriate vice president, and the personnel officer, must be obtained and documented on the staff/spouse educational privileges approval form. Moreover, if the attendance is to be during normal duty hours, the employee and the administrative supervisor are responsible for establishing a mutually satisfactory written arrangement under which the employee will carry out the full services for which he or she is appointed and paid.

Registration

The completed staff/spouse educational privileges approval form will be attached to the employee/spouse's registration packet when registering for classes.

The eligible employee may register for a maximum of two courses each semester during their regularly scheduled work hours, subject to their administrator's approval as detailed above. There is no specific limit on credit hours outside of work time.

Employment Termination

If an employee's appointment is terminated during an academic period in which the employee or the employee's spouse is registered for academic work under this policy, their eligibility for educational privileges terminates at the end of the academic period.

Program Eligibility

Educational privileges apply to all regular credit granting programs and courses offered through the College, including regularly scheduled summer school. Portfolio courses, workshops, and noncredit courses offered by extended programs and short-term training that are self-supporting require payment of full fees. Self-supporting courses and special fees (i.e., limitation to academic service: 1.0) must be recorded in writing through the Personnel Office 10 days prior to the beginning of each semester. Once each course or special fee is recorded, it will remain exempt from coverage under this policy.

Employees and spouses, eligible for certain educational privileges, are entitled to a further reduced fee on certain fitness/wellness classes. These courses are offered with the expressed purpose of promoting fitness/wellness of the college employees. The further reduced fee is $10 to register and $2.50 per credit. If other courses are taken in conjunction with a fitness/wellness activity class, the registration fee is $20 but the cost per credit is $2.50. A current list of eligible fitness/wellness classes can be obtained in the Personnel Office.

Limitation to Academic Service

A person who is registered under this policy is entitled only to academic services (i.e., instruction and use of the library). Other services covered by regular fees, such as student health services, insurance, and student activities, are not included. Special fees, individual instruction in music, workshops, lab fees, course-related field trips, credit for work experience through portfolio process, most extended program and short-term training courses, and other courses that are self-supporting do not meet educational privileges eligibility. Departments may choose to requisition educational expenses from coverage under the educational privileges policy that profit the College's operations.

Educational Reciprocity

Reciprocal educational privileges are extended to each of the State's two-year and four-year public institutions. Contact the appropriate institution's registrar concerning eligibility and procedural requirements.

RETIREMENT BENEFITS

Public Employee Retirement System

Employees who normally work 20 or more hours a week and whose periods of employment total five months or more are covered by the Public Employee Retirement System (PERS).

Participation of faculty and staff members on regular appointment is mandatory if they are employed at least half-time. Deductions are made from such employees' paychecks; effective October 1, the deductions are in the amount of 5.26 percent of salary (increases are scheduled for October 1, (year 1), and (year 2), to 5.30 and 5.34 percent, respectively). The College contributes toward funding of the benefits and to cover administrative costs; for (year 1 and year 2), the contribution is 8.75 percent of the covered employee's compensation. Participation is suspended while an employee is on leave without pay. Further information may be obtained from the Personnel Office.

An employee who leaves the college after less than five years of service is entitled to withdraw his or her contributions and any interest that has been credited. Such an employee is not eligible for any benefits resulting from state contributions to the retirement fund. An employee leaving the college after five years of service and before age 65 may withdraw his or her contributions with interest or may leave the funds intact and begin to receive benefits on retirement at age 55 or older. Those leaving the college after five years of service and after attaining age 65 are eligible for service retirement and not eligible to withdraw contributions.

Regular Service Retirement. The amount of retirement benefits is calculated by the formula: B = .01667 x (average salary) x (months of credited service). "Average salary" is the average of the monthly salary over the highest consecutive 60 months. The amount determined by the formula is the annual benefit, and the retiree receives one-twelfth of that amount each month. Thus, an employee retiring at age 65 after 30 years of credited service receives a retirement allowance equal to 50 percent of "average salary." Furthermore, an employee in a median salary range who qualifies for a 50-percent PERS benefit and an unreduced Social Security benefit at age 65 may expect a combined income from these two sources equal, or nearly equal, to "take-home pay" at the time of retirement.

Early Retirement. An employee who has at least five years of credited state service, including six months of contributing membership in PERS, and is at least 55 years old is eligible for retirement. The retirement allowance under these circumstances is usually a fraction of the regular allowance, the fraction being determined by the length of time between the date when payments commence and the date when eligibility for full benefits would have been attained.

Disability Retirement. An employee who has 10 years of credited state service and becomes totally and permanently disabled may apply for disability retirement. Eligibility for such retirement is determined by PERS on the basis of medical evidence, and the retirement allowance is based on formulas established by PERS. Usually, there is a five-month waiting period between the date of eligibility and the beginning of benefit payments. Therefore, benefits continue until the retiree's death, eligibility for service retirement, election of early retirement, or return to active service on termination of disability. Disability retirement benefits are coordinated with long-term disability benefits and this status usually follows a period during which the employee was on sick leave or receiving short-term disability benefits. Further information can be obtained from the Personnel Office.

BENEFIT ELIGIBILITY FOR PART-TIME EMPLOYEES

Preface

This policy covers benefit eligibility for part-time classified, exempt, faculty (adjunct), irregular help, work study, and volunteer employees.

Policy

Part-time classified and exempt employees who work or are expected to work five consecutive months and 20 hours or more per week are eligible for state benefits (group medical, life insurance, retirement), vacation/sick leave and compensation time as appropriate.

Part-time faculty (adjunct) members are eligible for benefits if their teaching assignments are for at least nine credits (equivalent to half-time) per semester and they are expected to work two or more consecutive semesters. Part-time faculty working half-time or more for only one semester are not eligible for benefits.

Irregular help employees who work or are expected to work for five consecutive months and 20 hours or more per week are eligible for state benefits.

Work-study employees are not eligible for benefits.

Volunteer employees are not eligible for benefits. Volunteer employees are covered by the state's volunteer group policy for workers' compensation.

SAVINGS BONDS, DEFERRED COMPENSATION, AND TAX-SHELTERED ANNUITIES

U.S. Savings Bonds

College employees may participate in a program of regular purchases of U.S. Savings Bonds, series EE, by authorizing the Payroll Office to make payroll deductions for that purpose.

The price of these bonds is 50 percent of their face value, with the $50 minimum denomination costing $25. They mature to face value in 11 years, yielding a return of 6.5 percent a year. They must be held for a minimum of six months. Purchasers are limited to total purchases of $15,000 a year.

Deferred Compensation

Through participation in the State's public employees' deferred compensation plan, College employees may set aside a portion of their earnings in a tax-deferred payroll savings program with four investment options. New employees may enroll upon beginning employment; thereafter, enrollment in the program or changes in the amount deferred or in the investment option may be made only during open-enrollment periods scheduled at six-month intervals. Additional information may be obtained from the Personnel Office and consultation with a representative of the company handling the plan may be arranged through that office.

Tax-Sheltered Annuities

Insurance and investment companies have developed programs that are available on a payroll-deduction basis. Names of local agents for these programs are available from the Personnel Office. The Payroll Office requires an authorization from the employee for payroll deduction.

SOCIAL SECURITY AND EMPLOYEE INSURANCE

Life and Accidental Death and Dismemberment Insurance

The College pays the premium for life insurance for college employees on regular appointment who work at least half time. For an employee under age 70, the coverage is in an amount equal to his or her annual salary; after 70, the benefit is reduced to one-half the annual salary. (For life-insurance purposes, "annual salary" is the actual salary rounded upward to the next $1,000.) This insurance provides, in addition, coverage in the amount of $2,000 for an employee's spouse, and $1,000 for each dependent child aged 10 days to 19 years. Beneficiaries' names should be recorded in the Personnel Office.

For purposes of life-insurance coverage, the following are considered to be dependents of the employee: (1) the employee's spouse, provided the spouse resides with the employee (2) the unmarried children of a subscriber or subscriber's spouse, up to their 19th birthday. The term "children" includes natural children, stepchildren, adopted children, or children in the process of adoption from time of placement with the member. The term "children" also includes children legally dependent upon the subscriber or subscriber's spouse for support where a normal parent-child relationship exists with the expectation that the subscriber will continue to rear that child to adulthood. Such children may be covered beyond their 19th birthday, so long as they are covered prior to attaining age 19 and are eligible to be claimed as dependents on the subscriber's most recent U.S. Individual Income Tax return and have not terminated their coverage for any reason after reaching age 19, but not beyond the end of the calendar month in which they attain age 23.

The College also continues to pay the premium for this insurance during the first three months that an employee is on leave without pay. After three months of such leave, the employee may continue the insurance for a limited period by paying the premium quarterly, in advance, to the College; the premium rate is the same as that paid by the College. Whether or not the employee continues the insurance while on leave, payment of the premiums is resumed by the College when the employee returns to pay status.

Accidental Death and Dismemberment Insurance (AD&D). This insurance provides benefits in addition to group term life insurance for eligible employees. The premiums are also paid by the College. Coverage applies to active employees only (including those on leave without pay); dependents and retirees are not covered. Employees on official leave without pay retain coverage as provided in number two below.

1. In case of accidental dismemberment of a hand or a foot or the accidental loss of sight of an eye, AD&D insurance provides a benefit (applicable to the employee only) equal to one-half the life insurance coverage defined above. In these cases, the beneficiary is the injured employee.

2. In the case of accidental death, AD&D insurance provides a benefit equal to the life insurance coverage defined above (i.e., the combined benefit from life and AD&D insurance is double the amount above). In this case, the beneficiary is the person designated under group term life insurance.

Two optional plans of additional group term life insurance are available at nominal cost with premiums payable through payroll deductions. Additional information is available in the Personnel Office.

1. Supplemental life insurance can be purchased in the amount of the employee's annual salary. The premium varies with the amount of insurance and the age of the employee.

2. Any College employee currently enrolled in PERSI, who is not eligible for federal retirement benefits, may obtain group term life insurance through the Public Employees Retirement System at a cost of $9 per month. This plan includes separate components for life and accidental death and dismemberment benefits and provides some coverage for dependents; the amount of the benefit decreases with the age of the insured person.

Life insurance coverage will be continued for disabled employees in these situations:

1. Employees who are totally disabled will have their life insurance coverage extended until they reach 70 years of age or until they return to active employment, whichever is earlier. If they desire to retain the coverage beyond age 70, they must convert to an individual plan.

2. Employees enrolled in the supplemental life insurance program who become totally disabled must continue to pay the premiums for the first six months of disability. (Previous authorization of payroll deductions for this purpose will be ineffective because they do not apply to disability income compensation payments; therefore, it is necessary for these employees to make other arrangements with the Personnel Office.) If the disability persists longer than six months, further premiums are waived for the duration of the disability.

Medical Insurance

The College offers a group medical plan to all employees on regular appointment and their dependents.

Employees' portion of premium payments may be done by payroll deduction. For purposes of medical insurance coverage, the following are considered to be dependents of the employee: (1) the employee's spouse, provided the spouse resides with the employee and (2) the unmarried children of a subscriber or subscriber's spouse, up to their 19th birthday.

The term "children" includes natural children, stepchildren, adopted children, or children in the process of adoption from time of placement with the member. The term "children" also includes children legally dependent upon the subscriber or subscriber's spouse for support where a normal parent-child relationship exists with the expectation that the subscriber will continue to rear that child to adulthood. Such children may be covered beyond their 19th birthday, so long as they are covered prior to attaining age 19 and are eligible to be claimed as dependents on the subscriber's most recent U.S. individual income tax return and have not terminated their coverage for any reason after reaching age 19, but not beyond the end of the calendar month in which they attain age 23.

An employee becomes eligible for participation in the plan on the first day of the month after employment at the College. To subscribe to the plan, an application form must be filed in the Personnel Office.

A waiting period for coverage of certain expenses applies to new employees as follows:

1. Benefits for preexisting conditions, chronic conditions, sterilization, removal of tonsils and/or adenoids, or disorders of the reproductive organs will be provided after 10 months of continuous coverage under this group contract. This waiting period shall apply to all adopted children, but shall not apply to newborn children who shall be covered from the moment of their birth.

2. "Preexisting condition" means the existence of symptoms that would cause an ordinarily prudent person to seek diagnosis, care, or treatment within the five-year period preceding the effective date of coverage, or of a condition for which medical advice or treatment was recommended by a physician or received from a physician within the five-year period preceding the effective date of coverage.

Benefits under the plan include payment of 80 percent of usual, customary, and reasonable (UCR) charges for covered medical expenses, subject to a $110 individual deductible or $330 family deductible per year. After the

total of an insured's UCR covered medical expenses exceeds $5,360 in a given year, 100 percent of any additional such expenses in that year will be paid. Some terms of the coverage change when an insured retiree or a retiree's spouse reaches age 65. Benefits and premium rates are subject to change from time to time. Descriptive brochures are available at the Personnel Office, where additional information can also be obtained on request.

At the time of retirement, one-half of the value of unused sick leave accrued since July 1, 1976, up to a maximum of 336 hours, may be applied toward the payment of premiums for continued coverage in this plan.

An employee who resigns for reasons of disability is eligible for group medical insurance as long as the disability continues. The College and the employee each pay a portion of the premiums and the employee may continue to pay premiums for dependents' coverage.

Disability Income Protection

College employees on regular appointment who work at least half time are covered by a group disability-income protection plan, which is fully funded by the College.

The plan provides the following benefits:

1. Short-term disability: After 30 days of disability and after all accumulated sick leave eligibility has been exhausted, the employee will receive up to 60 percent of his or her gross salary.

2. Long-term disability: After 26 continuous weeks of total disability, or the exhaustion of the insured individual's sick leave earned from the State at the time of disability, employees are eligible for long-term disability.

For each insured individual who becomes totally disabled on or after July 1, (policy year), benefits are payable until the earlier of (1) June 30 following the policy year in which the insured individual became totally disabled or (2) age 70. The life insurance company is responsible for initial claim determination, claims processing and payment, medical review, and rehabilitative guidance to the employee until the end of the policy year following the policy year disability commenced. Should an employee continue to be disabled beyond that date, the State will assume responsibility for benefit payment to disabled employees in accordance with the provisions of the plan.

For each insured individual who becomes totally disabled between the ages of 70 and 75 and on or after July 1, 1987, benefits are payable until the earlier of (1) recovery or (2) 12 months of benefit payments.

For each insured individual who becomes totally disabled at age 75 or older and on or after July 1, 1987, benefits are payable until the earlier of (1) recovery or (2) six months of benefit payments. The monthly benefit amount is equal to 60 percent of the employee's monthly salary, or $2,000, whichever is less.

The employee's eligibility for disability benefits under such other programs as industrial-accident insurance, Social Security, and the Public Employee Retirement System is taken into consideration when determining the employee's benefits under this plan. For short-term disability, the total benefits from any combination of such programs are limited to 45 percent of gross salary and for long-term disability to 70 percent.

There are certain exclusions under the policy, such as conditions that existed before the effective date of the insurance (July 1, policy year) or date of employment, whichever is later, intentionally self-inflicted injury, and disability that results from participation in an assault or felony. Moreover, compensation for disability due to certain causes (e.g., psychiatric) is subject to limitations stated in the policy.

Claim forms and additional information are available from the Personnel Office.

GENERAL INFORMATION

Athletic Activity Tickets

Full-time, permanent employees and their families are eligible for free athletic activity tickets. Play-off games and special athletic events are not included. Tickets can be obtained at the Athletic Department or Personnel Office.

Employee Use of Campus Facilities

The personal use of College facilities is restricted to those normally provided for the use by students and employees, such as bookstore, library, gymnasium, and tennis courts. College property is not for personal use. Automobiles, tool equipment, and supplies shall be used for College purposes only.

FACILITIES MANAGEMENT

Introduction

The appearance of the campus creates a strong, early impression on prospective students and their families and on other visitors. Well-maintained buildings and equipment add not just to the comfort of students and employees, but to their productivity as well. Facilities management can set an overall atmosphere for the entire institution, either positive or negative.

Sophisticated facilities management will include an effective program of regularly scheduled preventive maintenance. The goal is to keep building systems and equipment running and to avoid costly downtime. Even so, facilities will still need repairs and renovations. All employees can play a key role by reporting such needs to the maintenance department. Procedures included in this section deal with the procedures for doing so. Other statements illustrate the fixing of responsibility for various types of facilities services—maintenance, cleaning, grounds care, utilities, heating and cooling, and construction—within the organization, and deal also with the specialized topic of construction management.

Facilities departments typically have the operating budget authority and responsibility for the routine services listed in the preceding paragraph, and they will also administer a major portion of the capital budget. Departments throughout the institution, however, may request special work to be financed from their own budgets. The institution needs chargeback systems to make this possible. Descriptions of two such systems are included here.

Requests from outside organizations to use campus facilities for special events are fairly common. Established policies and procedures will ensure that such requests are treated in a fair and consistent manner.

Significant security and safety concerns surround the issuance of keys for campus buildings and rooms. Careful control is needed to keep keys out of the hands of unauthorized persons. Loss of keys, particularly master keys, can require the costly replacement of locks.

Most institutions provide vehicles for use by employees, including student employees, for approved purposes. Security and safety concerns arise here also. The responsible department must keep vehicles in a safe condition and make sure assigned drivers have proper training and an acceptable driving record.

The mention of vehicles leads logically to the subject of campus parking. A common business officer's joke is that a parking tag is a hunting license. Parking regulation and enforcement is a serious matter, however, and requires carefully reasoned procedures.

Colleges and universities are teaching concern for the environment in their classes. Students expect them to demonstrate this concern with environmentally sound campus operations, with careful disposal of surplus material and with recycling programs. Special problems arise when asbestos-containing materials are discovered on campus. This section deals with all of these issues.

A matter covered in a thorough statement is campus communications in a time of crisis. This issue is broader than facilities management, but it includes a significant facilities component dealing with fires, accidents, natural disasters, explosions, and environmental damage. Therefore, the manual includes it here.

Asbestos Management

INTRODUCTION

Asbestos containing materials (ACM) were used widely as construction and insulating materials in buildings from the 1940s through the late 1970s.

Asbestos-containing materials are regulated by the federal government through the Environmental Protection Agency (EPA), and the Occupational Safety and Health Administration (OSHA) and by the State of Florida through the EPA in terms of employee and environmental protection.

While asbestos is a serious health and safety concern, currently available data and risk assessments indicate that when properly managed, undamaged asbestos-containing materials in buildings do not present a significant health risk to building occupants. Therefore, the College's policies regarding asbestos focus on providing comprehensive and effective management rather than total removal.

EFFECTIVE DATE

This policy is effective upon receipt.

RESPONSIBILITIES

Facilities Management is responsible for management of asbestos-containing materials in accordance with the overall policies of the College, including notification to the State of Florida Environmental Protection Agency and the Federal Bureau of Air Quality Management of planned removal or unanticipated release of asbestos.

Facilities Management is responsible for all College asbestos abatement activities and represents the College on matters of regulatory compliance. Facilities Management provides technical oversight, specifications, and recommended procedures as requested by the College and maintains a record of all asbestos abatement projects conducted by the College.

ACTIONS THAT MAY BE TAKEN

Effective management of asbestos-containing materials includes the following approaches, depending on the nature of the material, its condition, and potential for exposure. ACM that is in a safe condition and does not present a danger to students, staff, and/or faculty may be left in place. For ACM that presents a potential for exposure, one or more of the following remedial actions may be appropriate:

1. Removal and secure disposal of asbestos-containing materials
2. Enclosure and encapsulation of asbestos-containing materials
3. Restriction of access to and isolation of nonpublic areas where ACM may be present

COLLEGE POLICY

The College is committed to protecting the health and safety of its students, faculty, and staff from unsafe exposure to asbestos. The College complies with applicable laws and regulations concerning asbestos-containing materials.

In support of this policy, the following principles will guide Facilities Management in the management of asbestos at the College:

1. Suspected asbestos problems will be promptly investigated and appropriate action taken to protect the safety and health of the College community. Abatement procedures and activities should be fully documented and appropriately recorded by Facilities Management.

2. Where required, abatement of asbestos may include removal, encapsulation, enclosure, or other forms of isolation and security to properly protect health and safety.

3. Protection of service workers with the potential for exposure to asbestos-containing materials through their duties is a College priority.

   Employees and contractors engaged in service work that may result in exposure to asbestos-containing materials shall be properly trained in asbestos awareness. When working in areas where asbestos exposure is a potential hazard, service employees shall be provided with appropriate protective equipment.

4. Asbestos abatement projects and disposal of asbestos-containing materials shall be performed by qualified College or contractor personnel in accordance with established laws and regulations.

5. Communication with occupants of College buildings is an important element in effective asbestos management. Students, faculty, and staff should be provided timely and accurate information about asbestos abatement activities that may affect them.

Construction Administration

IN GENERAL

Written contracts and agreements are maintained for all College construction projects. Projects include all buildings and facilities construction, equipment, landscaping, major reconstruction and repair projects, and other significant uses of budgeted capital project funds. The Director of Campus Services is responsible for College construction projects, including the stewardship of all contractual documents, plans, building permits, etc.

PROCEDURE

The following procedure is followed for the administration of a construction contract and related activity required to complete the contract:

1. The Director of Campus Services develops and reviews plans for the construction project and establishes a uniform title or common reference for the project in accordance with established procedures. The development and review process includes the Vice President for College Operations, the department head affected, and all other key individuals or department personnel involved in the planning process.

2. Bid specifications are prepared by the Director of Campus Services and are reviewed and approved by the Director of Purchasing Services.

3. Final plans and estimates of project costs are submitted to the President for review and approval.

4. Bids are advertised, received, and compiled on the approved project by the Director of Purchasing Services in accordance with established purchasing laws and procedures.

5. Bids on the project are submitted to the President by the Vice President for College Operations and the contract is awarded in accordance with established laws and regulations on purchasing.

6. The Director of Campus Services prepares the contract and has all documents signed by the contractor and the clerk/deputy clerk of the College and secures performance bonds (if applicable) from the contractor. Copies of the contract and performance bonds are distributed to the architect/engineer, Director of Purchasing Services, and two copies are sent to the Financial Services Department.

7. The architect/engineer issues a notice to proceed and the project commences. Wage certifications are obtained by the Director of Campus Services and filed with Records Management Services and the State Bureau of Labor.

8. Change orders are prepared by the architect/engineer and are submitted to the contractor for a cost estimate and completion schedule changes, then reviewed and approved by the department head affected, the Director of Campus Services, and the Vice President for College Operations, and signed by a clerk/deputy clerk of the College. The distribution of change orders is identical to the distribution of the contract (see item number 6).

9. The contractor initiates and submits to the architect/engineer all applications for payment or partial payment of the contract for review and approval. The architect/engineer forwards approved applications to the Director of Campus Services for College approval. All approved requests for partial and full payment are transmitted to the Financial Services Office for processing.

10. When contracted work has been substantially completed, the architect/engineer completes a certification of substantial completion and submits it to the Director of Campus Services. The architect/engineer also submits a list ("punch list") of those items not yet completed. The certification of substantial completion is processed in the same manner as the original contract. At this time, the College assumes ownership of the facility and commences using it.

11. When all punch list items have been completed, the Director of Campus Services initiates final acceptance of the facility and closes out the project. The Vice President for College Operations accepts the project (small projects) or obtains the President's approval of the project (large projects).

Crisis Communications

STATEMENT OF POLICY/OBJECTIVES

The College is committed to honest and timely communications with the public, the news media, its employees, and other audiences who have an interest in its operations.

While the College's primary goal is to act in the community's interest at all times, we recognize there must be a priority of action in certain instances of communications, such as emergencies. In these cases, our actions will be driven by concerns first for our community; next, the immediate response necessary to resolve the problem and secure the safety of individuals; and then for reducing the impact of the problem.

In communicating, we will make an effort to share appropriate information with the news media, community leaders, neighbors, government officials, public and private organizations, and individuals affected by problems that occur on our campus or through our operations.

This communications plan sets forth procedures and examples and guidelines for communicating with the various audiences who are likely to be involved. These audiences are likely to include the following:

- Faculty and staff
- Students
- News media
- Public officials (federal, state, local)
- Neighbors (people who live nearby)
- Donors and trustees
- Vendors and suppliers
- Alumni
- Community organizations

The Objectives of Communication

In any situation, whether it is an emergency or not, there should be specific objectives to set forth the College's perspective. We should seek to do the following:

- Manage the flow of information
- Establish a central source of communications
- Focus on the most important issues
- Maintain and project a reasonable perspective
- Limit the story in its duration
- Contain the story to the local area
- Use key messages over and over
- Use compassionate language
- Be accessible to our audiences

CRISIS DESCRIPTION

Crisis situations vary and may include the following:

- Fires
- Crimes
- Injury or death by natural causes or accidents
- Employee or student grievances made public
- Natural disasters

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- Management changes
- Strikes, boycotts, protests, or confrontation with groups
- Bomb threats or accidental explosions
- Environmental disasters (effluent, chemical)
- Reputation or credibility damage
- Lawsuit
- Business interruptions
- Problems with contractors or vendors

Crisis: What Is and What Is Not a Crisis

1. It is a surprise. There is little or no lead time. Knowledge of it is unpredictable or the lead time of getting the information requires quick action. It is usually an event that does not allow time for control of all individuals involved (i.e., media, staff, students, etc.)

2. It may come at the worst possible time. Timing may influence the situation, causing a tense situation to become a crisis (i.e., the middle of the night, holidays, or when management or decision makers are unavailable).

3. There is insufficient information. Contradictory or insufficient information during early stages may create or intensify the situation.

4. The media may quickly become involved. Emergencies—or situations involving life, health, property, or money—are newsworthy.

5. There may be a sense of lost control. Lack of information and time create a feeling of lost control. It is expected. Trained personnel and crisis communications techniques and plans can reduce negative impact from crisis situations—replacing a sense of lost control with reasonable actions based on sound judgments.

6. There is intense scrutiny. Faculty, staff, students, parents, trustees, donors, public officials, the media, onlookers, and neighbors all expect and deserve attention and response whenever possible.

7. There is almost always unexpected, serious consequences. The impact affects individuals and audiences—not simply the university. Assessing impact requires quick reaction and common sense to identify audiences, causes and effects, and facts.

8. Employees and spokespersons may experience a siege mentality. Attention will be focused on every action and reaction. If the staff is unprepared, mistakes may prolong or worsen the crisis. But, when prepared for the unexpected, the roles are clear and procedures are in place, usually reducing negative impact.

9. Panic may occur. Good decisions and sound judgment reduce rumors or misinformation which can create panic or overreaction. Complete and accurate information, procedures, and well-trained spokespersons can make the difference between panic and calm in crisis situations.

10. There will be short-term focus. Crisis brings intense short-term focus. Its impact has, in many cases, long-term results. (This is especially critical for a college with students living on campus, where issues of personal safety and security impact marketing and long-term success.)

Spokesperson Designation and Assignment

It is critical that only one person speak for the College.

Ideally, and in most situations, the spokesperson should be the manager with the most authority or media experience. During a crisis situation, the first media contact is likely to be made within an hour of the event.

In most cases, this initial media contact is the most important and will set the tone for others. It may also be the only opportunity to respond and therefore be the most critical contact.

The director should serve as the spokesperson whenever possible. The director should have already received spokesperson training and crisis management. Perhaps the greatest danger to the College's image and credibility is the issuing of conflicting messages from different parts of the organization.

All telephone operators, security personnel, and staff should be firmly instructed to refer all questions and inquiries to only the designated spokespersons.

The characteristics of an ideal spokesperson include the following:

- Authority/seniority
- Composure/tact
- Common sense
- Ability to translate technical information
- Effective use of layperson's terminology

Communicating to Staff

Communicating to employees should be an early priority in communications. If your employees do not have the correct information about an issue or situation, they will inadvertently provide different facts and information to their friends and neighbors in the community, destroying the credibility of the story you have given to the media and others.

Here are some suggestions on how to communicate to employees during a crisis:

- Talk to your employees as quickly as possible. Depending on the nature of the situation, you can use meetings, announcements, hotlines, and organized telephone calling.
- Make sure your message to the employees is consistent with what you tell others (i.e., media, public officials, etc.).
- Keep talking. Continue to keep your employees informed throughout the situation. They also need to know what will be done to correct the situation in the future.
- Alert emergency teams. Work with your emergency team coordinator to ensure that the psychological needs of your employees and their families are addressed.
- Make sure that one company official is disseminating the story companywide so employees at other locations will be properly informed.

Student Crisis Communications

When a student is hurt, follow the authorized procedures:

- Out of consideration for the victim and their families, no information regarding identity, nature, and extent of injuries or cause of death may be released to the press until the next of kin has been notified.
- All information regarding identity, nature, and extent of injuries or cause of death is to be held strictly confidential until a release is authorized by the appropriate university official or appropriate local authority.
- If safety rules were violated by the victim, it may be more appropriate for this information to be made public by other sources. Pointing up the negligence of someone who has been hurt appears callous.
- Before releasing the names of victims to the media, it is vital that the next of kin be notified. Use common sense. The manner in which the resident's relatives are notified can reflect directly on the University.
- Notification should be in the form of a visit to the families home, if possible. Notification should be handled by the highest University official on the scene.
- The following information, at a minimum, should be transmitted to the next of kin: extent and nature of injuries, where the victim was taken, and latest information from the hospital.

Communicating with the City

Brief local, city, and county officials on all current statements and estimates. Remember, the media may call them, too. In some cases, local public officials can preempt our release of information to the media.

When there is anger in the community because of a situation at the University, you should be forthright and positive in dealing with individuals. Share complete information. Respond to specific concerns. Talk about immediate action and permanent resolution.

Once the situation has passed, confer with the designated public relations firm and your managers on ways to communicate to the community what is being done to correct the situation. Follow up.

Checklists

Prepare in advance readily accessible lists of people and organizations that will need to be contacted in an emergency. The lists should include names, addresses, and telephone numbers for groups such as the following:

- Fire
- Police
- Hospitals
- State EPA
- Federal EPA
- Local elected officials
- State elected officials
- Local newspapers
- Local radio stations
- Local television stations

Keys (1)

There is an institutional commitment to faculty and staff to have convenient access, when needed, to all work areas with as little restriction as possible, while at the same time maintaining key security, institutional security and preventing unauthorized access to buildings and rooms within the campus.

The following regulations apply to the issuance and use of keys:

1. Keys will be issued to an individual and are nontransferable. They are only issued upon submission of a completed key request form and must be signed out by the recipient. When the request for a key coincides with the need for a personnel action form, attach both forms and route through appropriate administrative channels. When the period of authorization is over or the individual is no longer an employee of the College, the keys are to be returned to the Personnel Office.

2. The Personnel Office shall maintain a comprehensive key file.

3. All key request forms should be routed through appropriate channels and approved by the Financial Vice President. The individual receiving the key(s) must sign for the key(s). Secretaries will be allowed to pick up keys if the proper signatures are on the key request forms; but secretaries will also need to sign for the keys.

All keys, particularly master keys, will only be authorized to individuals with demonstrated reoccurring need for such keys. Issuance of master keys will be kept to a minimum. Release of temporary keys for access to buildings and rooms, when not needed on a long-term, reoccurring basis, will be encouraged.

Individuals returning keys must bring them to the Personnel Office during normal working hours, and their name will be removed from the record. Keys should not be sent through the campus mail. There will be a $5 charge for each nonreturned/lost room and entrance key. If a master key is lost, the employee's department may be held accountable for the cost of rekeying the facility. A lost key should be reported to the Personnel Office and the Security Office. Issuance of a terminated employee's final paycheck is dependent upon the return of or payment for lost institutional key(s).

Keys (2)

IN GENERAL

The maintenance of all locking systems and the control of keys is necessary to maintain appropriate security and safety measures and to safeguard all college buildings, equipment, and other facilities. All locking devices

and keys are the responsibility of the Manager of Security and Auxiliary Services. The possession and use of keys are the responsibility of the department head or administrator for each applicable unit. This applies to other major off-campus locations owned or operated by the College. It does not apply to desks and other furniture, safes, lockers or special storage units, building service areas, or equipment such as vehicles.

SUPERVISOR RESPONSIBILITY

When a staff person retires or terminates employment with the College, his or her supervisor shall ensure that a work order is initiated to begin the key recall process prior to the employee's last day of work. The work order shall indicate the day on which the staff person will return his or her key(s) to the security office. Fee assessments that are deducted from the employee's final paycheck will be collected as an Accounts Receivable by Financial Services.

INDIVIDUAL KEY USERS RESPONSIBILITY

Individuals issued school keys are enjoined to safeguard these keys against loss or theft. Should loss or theft occur, the incident must be reported to security immediately. Any staff person possessing keys that have not been authorized is subject to disciplinary action.

FEE ASSESSMENT

In lieu of a key deposit, a fee assessment schedule is implemented with the fee appropriate to the access level of the key. This fee shall be assessed when a person or department cannot account for the key(s) issued to them. The fee schedule is as follows:

1. Outside door master key	$100
2. Outside door department key	$50
3. Inside door grand master key	$25
4. Inside door department master key	$15
5. Inside door individual key	$10
6. Assorted service keys	$10

ISSUANCE

Grand master inside door and master outside door keys are issued to the President, vice presidents, associate deans, Director and Assistant Director of Campus Services, Assistant to the President, custodial shift managers, custodial crew members for the duration of their shifts, specialists, and community education coordinators. Keys are also issued to designated individuals within the staff areas of security, tour guides, and scheduling. The grand master inside door key is issued to custodial crew members for the duration of their shift.

Department outside door keys are issued to department heads and administrators. Custodians are issued these keys for the duration of their work shift and appropriate to their cleaning routes and are issued to certain staff members to meet requirements outside the normal working time periods.

The issuance of grand master inside door, department outside door, and department outside master keys must be approved by the appropriate vice president or associate dean. Other keys require only the approval of the department head.

OBTAINING KEYS

When a supervisor determines the need for his or her staff to have a key, the supervisor shall initiate a work order to Campus Services. The work order shall describe the access needed and shall be signed by the appropriate authority required by the access level and name the recipient of the key. When the key has been fabricated, the security office will notify the department so the recipient may come to the security office to be issued the key.

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LOCKING DEVICES

There shall be no locking devices attached or installed on College doors independent of the College-keying system.

SPECIAL SECURITY LOCKING SYSTEM

A department head may identify an area in his or her department that would require a higher level of security for reasons of equipment sensitivity or a concentration of costly high tech equipment. This area, upon approval of the Manager of Security and Auxiliary Services, could be keyed to a system separate from the master systems. The conditions for this approval are as follows: the department head forgoes routine maintenance such as light replacement and regular cleaning and must subsequently arrange by work order these services; the area identified must not interfere with routes of egress necessary to building emergencies nor shall it contain any physical plant equipment or control that requires access by maintenance personnel.

Maintenance Responsibilities

GENERAL

The Campus Services Department is responsible for the maintenance and operation of all College-owned buildings and fixed equipment, and, in some cases, for leased facilities. The duties and responsibilities of the various units within Campus Services are as follows:

MAINTENANCE SERVICES

The following units provide the indicated maintenance services:

1. *Carpentry*—maintaining and remodeling wooden structures, cabinet construction, roof repairs, wooden furniture repairs, and similar activities.

2. *Electrical*—installing and maintaining all building and electrical devices including fans, motors, elevators, fire alarms, lights, and electrical service; also repairing some electrical appliances and power equipment.

3. *Mechanical*—maintaining plumbing, compressed air, building fan units, emergency generators, and other building systems.

4. *Painting*—painting, finishing, and refinishing all College buildings, equipment, furnishings, and other related items.

5. *Special Maintenance*—repairing to lock systems, clock systems, metal furniture, and other specialized departmental equipment and maintaining and repairing all College vehicles and power equipment.

HOUSEKEEPING

This section is responsible for the housekeeping in all facilities, including routine cleaning, waste removal, window washing, carpet cleaning, and other cleaning duties. Other activities include setting up facilities for special events, moving furniture, locking and unlocking buildings, and other duties on special request.

GENERAL SERVICES

This area is responsible for moving and courier services, windows, carpet, floor, curtain, and upholstery cleaning and care. It also is responsible for maintenance of motor vehicle scheduling and emergency and hazardous waste services.

PLANT OPERATIONS

Operation of central heating and cooling plant and control of building heating, ventilation and air-conditioning (HVAC) systems are managed by this section.

GROUNDS

Maintenance and development of the grounds, outdoor class areas, turf and shrubs, irrigation systems, athletic fields, walkways, parking lots, sewage lagoons, and waste water treatment are the responsibility of this area.

TELEPHONE SYSTEMS

Operation, maintenance, and billing for all College telephone systems and other related devices are handled by this area.

FACILITIES PLANNING

This section develops, coordinates, and supervises plans for remodeling and construction projects and other related design services. It provides general signing systems for campus and maintains facilities plans.

SECURITY AND AUXILIARY SERVICES

This area provides campus security, mail and communication services, laundry services, key control, and operates the motor pool.

UTILITIES

Provision of electricity, water, natural gas, steam, and garbage service for all College departments and units are managed by this section.

REQUESTS FOR SERVICES

Normally, any requests for services from the Campus Services Department are made using an intercampus order/services form. In case of a mechanical breakdown or other emergencies related to buildings, contact the Campus Services office between 7 a.m. and 10 p.m. weekdays. For other hours and on weekends, contact security through the answering service.

Special custodial requests may be made by using the custodial services request form. Forms may be acquired from the Campus Services office. Custodial services request forms are for communications or custodial requests that would not warrant an intercampus work order.

Parking (1)

These regulations are promulgated for the safe control of traffic and parking on the College campus. These regulations apply to students, faculty, staff, and visitors to the campus.

GENERAL PROVISIONS

Parking on campus throughout the year, including break periods, is by permit only between the hours of 8 a.m. and 5 p.m., Monday through Friday. Resident freshmen are not allowed to park a vehicle on campus.

The registration of a vehicle on campus does not guarantee a parking place, but affords the registrant an opportunity to park in authorized parking areas when parking space is available. Students, faculty, and staff, in order to use campus parking, agree not to park on the private side street areas designated as "no parking" on the map.

The College is not responsible for losses due to theft or damage to vehicles while on College-owned property.

The College's Department of Public Safety is responsible for the administration and enforcement of these regulations and may impose traffic control restrictions as required. Conference parking, special events parking, and all temporary parking requirements of the College are to be scheduled and approved through the Department of Public Safety by the College sponsor or host.

All vehicles must display current motor vehicle registration.

Infractions of these parking regulations are the responsibility of the person who registered the vehicle on campus.

VEHICLE REGISTRATION

All vehicles operated and parked on College property by students, faculty, and staff must be registered annually with the Department of Public Safety. The registration year extends from September 1 to August 31. All parking permits expire on August 31.

Faculty and staff must register their vehicles each year during the months of July and August. Registration cards are available in the Department of Public Safety and in Personnel Services. Registration cards must be completed and turned in (either in person or through campus mail) to the Department of Public Safety, which will issue a parking permit for the appropriate registration year. Permits must be affixed to the vehicle by August 31.

Resident and commuting students must register their vehicles each year at nonacademic registration or at the Department of Public Safety by September 7. Registration cards must be completed and turned in to the Security Desk at nonacademic registration or to the Department of Public Safety, which will issue a parking permit for the appropriate registration year. Permits must be affixed to the vehicle by September 7.

Parking permits must be affixed to the right rear window of the vehicle or must be clearly visible from the rear of the vehicle.

A person with a registered vehicle who needs to operate a different vehicle temporarily must secure a temporary permit, at no charge, from the Department of Public Safety.

Physically disabled individuals, after obtaining the approval of a College physician at the Health Services Center, may obtain a handicapped permit.

Students attending a nearby college but living at the College must register their vehicles with the Department of Public Safety. College students living at other campuses must register their vehicle with their campuses' Security Department. Vehicles with permits of nearby colleges will not be permitted to park on the College campus between 8a.m. and 5 p.m., Monday through Friday. Vehicles with College student permits will not be permitted to park on the campuses of nearby colleges between 8 a.m. and 5 p.m., Monday through Friday. Students may only register their vehicles at the institution at which they reside.

Faculty and staff with a College permit may park at a nearby campus (and follow that campus' parking regulations). Faculty and staff with a permit of another campus may park at the College in faculty/staff parking lots.

REGISTRATION FEE

Resident and commuting students will be required to pay a registration fee of $30 per year. Students entering the College at the beginning of the second semester will be allowed to purchase a permit for $15. Faculty and staff are not required to pay a registration fee.

Faculty and staff wishing to register more than one vehicle may do so. Commuting students may obtain a permit for more than one vehicle at no additional cost provided that all vehicles are registered in the same name.

PARKING PERMITS AND ALLOCATION OF PARKING LOTS

Faculty/staff parking permits allow for parking in parking lots A through J. Resident student parking permits allow for parking in parking lots K through M. Commuting student parking permits allow for parking in parking lots N through Z.

Two-hour (maximum) visitors' parking is provided in designated visitors' parking lots. Students, faculty, and staff are not permitted to use visitors' spaces at any time. Visitors who plan to be on the campus for more than two hours must obtain a temporary permit, which will allow them to park in faculty and staff lots. Departments that need temporary permits may obtain them from the Department of Public Safety. Departments should specify the length of time for which these temporary permits are required. Students may also apply for temporary permits for guests.

Parking in handicapped spaces is reserved for vehicles with a state-issued handicapped license plate or with a valid College handicapped permit. Posted reserved parking areas located in various parts of the campus are designated for specific users.

REGULATIONS AND VIOLATIONS

The following constitute parking violations:

1. Parking in fire lanes
2. Parking in handicapped, reserved, loading, or visitors' spaces
3. Parking in a lot without a proper and current permit
4. Parking on the grass
5. Parking in violation of a posted sign

Parking improperly, such as the following, is a violation:

1. Obstructing other vehicles or traffic
2. Taking more than one parking space or failure to park within lines and designated spaces
3. Failure to park head-in

It is a violation to park an unregistered vehicle (unless one is a visitor to the campus and parks in a visitors' lot) or to fail to display a current parking permit properly.

PARKING PENALTIES

The following are penalties:

1. Parking in fire lanes: $20 plus towing
2. Parking in handicapped, reserved, loading, or visitors' spaces: $20 plus towing
3. Obstructing other vehicles or traffic: $20 plus towing
4. Parking in a lot without proper permit: $20
5. Parking on the grass: $10
6. Parking in violation of a posted sign: $10
7. Taking more than one parking space: $10
8. Failure to park head-in: $5

Fines are payable within 10 calendar days of the offense. Payments should be made to the Department of Public Safety (checks should be made out to the College). Students who fail to remit fines within 30 days of their violations will have the fines added to their bill by the Comptroller's Office. Failure by students, faculty, and staff to remit fines, or the repeated violation of parking regulations, may result in the loss of parking privileges.

Unauthorized vehicles parked on campus, vehicles parked in fire lanes, vehicles illegally parked in handicapped, reserved, loading or visitors' spaces, and vehicles that are immobilized, obstruct traffic, or impede the normal functions of the College are subject to towing at the owners' or operators' expense.

Vehicles with student permits from a nearby college parked on the College campus between 8 a.m. and 5 p.m., Monday through Friday, are unauthorized and will be towed. Vehicles with a College student permit parked on a nearby campus between 8 a.m. and 5 p.m., Monday through Friday, are unauthorized and will be towed.

Students, faculty, and staff with two unpaid parking fines who incur a fine for a third parking violation will also have their vehicles towed at their expense for that third violation.

APPEALS

Tickets for parking violations may be appealed in writing to the Parking Appeals Committee, Department of Public Safety, within 10 calendar days of the violation. The Appeals Committee, composed of two faculty, two staff, two resident students, and two commuting students, will meet bimonthly to handle all parking appeals. Decisions of the Appeals Committee are binding if at least one faculty, one staff, one resident student, and one commuting student are present.

Decisions of the Appeals Committee will be communicated to the person making an appeal. If an appeal is denied, the fine must be paid within three calendar days of the committee's notification.

All questions regarding parking regulations should be addressed to the Director of Public Safety.

Parking (2)

PARKING IN GENERAL

Vehicle parking for students, staff, and visitors is available within spaces provided in the blacktopped parking lots at the west, south, and east parts of campus and in the graveled parking area in the southeast part of campus.

Parking is not permitted in areas assigned to specially designated departmental service areas, handicapped parking zones, regular roadways or other service roadways or access ways. Citations will be issued by Security and Auxiliary Services for any parking violations.

SPECIAL-USE PARKING AREAS AND PERMITS

The College, as a general policy, provides unreserved parking to students, staff, and visitors on a first-come, first-served basis. However, the College recognizes the fact that there are some situations or needs that require the restriction of parking areas for a special use or issuance of parking permits to park in otherwise nonparking areas. The following procedure will be followed in establishing any special parking uses:

1. All requests for special-use parking arrangements or a change of an existing arrangement will be submitted to the Facilities Management Committee using the same procedure established for requesting any facilities change. The request must contain a description of the need and a justification for the special parking arrangement.

2. The Facilities Management Committee will review and take action on all requests in the normal course of its activities.

3. Following the direction of the committee's decision on any request, the Security Department will make arrangements for the identification of restricted parking areas and/or the issuance of any permits, tags, or other devices as it may see fit for the enforcement of the special use.

4. Special-use parking arrangements will normally have a maximum of one year's duration. All special-use parking arrangements will be reviewed on an annual basis by the Facilities Management Committee.

HANDICAPPED PARKING PERMITS

Parking spaces for handicapped individuals are located in the north, east, and west parking lots. Spaces are also individually provided at the Center Building service area for more severely handicapped people. Permits are issued by Student Health Services, located on the first floor south of the cafeteria, in the Center Building.

VENDORS/TRADES PARKING PERMITS

These permits are issued annually by the Security Office to vendors and trades people who must serve the main campus.

SPECIAL PERMITS TO LOAD/UNLOAD

These permits are issued by the Security Office to departments that must load/unload specialized equipment being transported to and from the main campus and the community on a regular basis. Interim or one-time loading requests are granted without issuing a permit to the department.

STAFF PARKING DECALS

Staff vehicle parking decals are issued by the Security Office to all staff members as a means to provide better security service for parked vehicles. This enables Security Officers to identify vehicle owners and report to them in the event of damage or other incidents that may involve their vehicles.

BICYCLE PARKING

Bicycles must be parked in areas provided or parked in a manner that does not impede the flow of pedestrian or vehicular traffic. Bicycles must not be parked inside any College building.

VEHICLE TOWING

Any vehicle that is parked or left unattended in a location that blocks or impedes traffic will be towed to an off-campus storage facility. This includes any vehicle that blocks or impedes access to a service drive, fire lane, roadway, handicapped parking zone, or other traffic service access.

The costs of towing and storage will be charged to the owner or operator of the towed vehicle. The vehicle owner or operator will be charged for any response fee if a towing company has been contacted, even if the vehicle has been removed prior to the response.

Vehicles may be towed away if the owner or operator does not make arrangements to pay for any citations previously issued.

All questions on towing may be directed to Security and Auxiliary Services.

Recycling

In keeping with the College's commitment to environmental stewardship, a campuswide program for paper recycling will begin in most offices in the winter quarter 1991.

It is estimated that 75 percent to 90 percent of the contents of most wastebaskets are recyclable and in an effort to do so the program to be implemented will be as follows:

- Containers will be placed near each wastebasket for recyclable paper. Most of the paper that crosses our desks is recyclable. Exact details are printed on the back of this sheet.
- As each container is filled, it will be the responsibility of each of us to transport the accumulated paper to larger containers marked with the recycling logo. These recycling containers will be distributed throughout the building for convenient access.
- Computer paper will be deposited in a separately marked container by the individual office personnel.
- These large containers will be emptied as necessary by the custodial staff.

Besides saving landfill space, the College will save the expense of hauling and dumping trash (about $75/ton) and will actually receive a payment for the recycled paper.

The logistics and implementation of the paper recycling program will be under the direction of the Director of Academic Custodial Services.

The following items are acceptable for paper recycling:

1. Regular office paper (any color)
2. Manila file folders

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3. Copy/typing paper
4. Booklets, brochures, and pamphlets (nonglossy)
5. Scratch and message paper
6. Adding machine tape
7. Legal paper
8. Interoffice memos
9. Self-stick labels
10. Rubber bands
11. Accounting ledger paper
12. Paper clips and staples
13. White envelopes without windows

The following items are unacceptable for paper recycling:

1. Unbleachable brown paper (brown paper bags, brown envelopes, etc.)
2. Pendaflex
3. Binders
4. Magazines
5. Newspapers
6. Telephone books
7. Cardboard (corrugated or regular)
8. Glossy paper or posters
9. Textbooks, catalogs, etc., with glued bindings
10. Window envelopes
11. Styrofoam or other plastics

All computer papers should be placed in separately marked large blue receptacles. Absolutely no cafeteria or restroom garbage is permitted.

Remodeling and Reallocation Requests

FACILITIES COMMITTEE

The College's facilities are a resource for the support of all College functions. To ensure that the facilities are configured and used in a manner that is effective and that meets the needs of the College as a whole, requires careful and diligent management. The Facilities Committee has been formed to provide this necessary management. The committee is composed of the four College vice presidents, a representative from each of the major divisions of the College who is appointed by the respective vice president, the Executive Dean, and the Director of Campus Services. The latter acts as executive secretary for the committee and is responsible for formulating agendas and scheduling meetings.

The following procedures relate to the remodeling and assignment of the College's facilities.

REMODELING REQUEST PROCEDURE

Any remodeling of College facilities must reflect the College's needs and must conform to all codes and regulations that apply in each specific case. Remodeling, for the purpose of this procedure, includes: any changes or alterations to any fixed part of a building, changes to pedestrian circulation patterns, changes in walkways

and ramps, and any other changes or alterations that directly affect the function or access to any building or room. Changes to the electrical and mechanical systems may or may not be included, depending upon their effects and complexity as determined by the Campus Services Office.

All departments with remodeling needs should comply with the following procedures. (A remodeling request is only valid for a space that is already assigned to the originating department.)

1. Request. The department should initiate either an intercampus order/services form for minor remodeling or a written request for major remodeling. The request must include a justification for the work as well as a general description of the desired changes to the unit's facilities. When completed, the request should be submitted through the normal administrative chain to the appropriate vice president.

2. Initial Review. Any person in the administrative chain may attach comments to the request. The vice president will provide the initial review of the request to determine whether or not it is worth pursuing further. If it is felt to be a valid request, the vice president will assign it for staff review, if necessary.

3. Staff Review. The appointed representative of the Facilities Committee will be responsible for completing the staff review. Sufficient background information will be gathered to provide an adequate evaluation of the proposal. The final step in this review is to request a preliminary design and cost estimate from the Campus Services Office. When all necessary information has been compiled, the request will be placed on the next Facilities Committee agenda.

4. Administrative Review. Periodically, the Facilities Committee will meet to review any current remodeling requests and to discuss other issues related to facilities. The review may result in a rejection or positive recommendation of the request, or its return to staff for additional information. Normally, the originator of the request will be informed of the committee's decision by the appropriate representative. Any requests recommended by the Committee are submitted to the President for final approval.

5. Funding. There are six different funding sources for remodeling construction projects: departmental budget, Campus Services budget, serial levy funds, remaining prior-commitment monies in the plant fund, State Construction Aid, and other external sources (i.e., HEW, EDA, etc.). Based upon the type and complexity of the approved project and the availability of funds, the Facilities Committee will decide upon the appropriate funding source(s) for the project. If the project is to be funded by the current operating budget (i.e., departmental or Campus Services), a work order will be submitted to Campus Services, which will schedule and complete the work in coordination with the requesting department. If any of the other funding sources are selected, then the project will be handled according to the procedures for capital construction projects.

SPACE ALLOCATION OR CHANGE IN USE REQUEST PROCEDURE

This procedure ensures that the College's physical facilities are allocated to organizational units in a manner that is both equitable and that reflects the needs of the units and the goals of the College. This procedure assumes that all facilities belong to the College and are not the exclusive property of any one organizational unit. Space needs and assignments will be reviewed periodically by the Facilities Committee, which will make any necessary reallocations based upon the current needs of the College.

All departments (organizational units) will use the following procedures to request additional facilities or a change in use of the facilities currently assigned:

1. Request. The department will initiate a written request in which it must justify the need for additional space or change in use based upon such factors as growth, significant changes in program or personnel, inadequacy of present facilities, etc. When completed, the request should be submitted through the normal administrative chain to the appropriate vice president.

2. Initial Review. Any person in the administrative chain may attach comments to the request. The vice president will provide the initial review of the request to determine if it is worth pursuing further. If not, the vice president will return it to the originator with applicable comments. If determined to be a valid request, the vice president will assign it for staff review, if necessary.

3. Staff Review. Each Facilities Committee representative, or the Executive Dean, will be responsible for reviewing facilities requests from his or her segment of the College. This person will gather sufficient background information needed for evaluation of the request as well as develop alternate solutions to the identified space need. The Campus Services Office will be used as a resource in attempting to identify these pos-

sible solutions and in developing any estimated costs that might be involved. Normally, the request would then be placed on the agenda of the next meeting of the Facilities Committee.

4. Administrative Review. The Facilities Committee will meet periodically to discuss issues related to facilities. During this meeting, all current requests for additional space will be reviewed. The result of this review and subsequent action would normally be one of the following:

Decision	Subsequent Action
a. Request Disapproved	(1) Originator notified.
b. Insufficient Data	(1) Originator notified.
	(2) Request returned for additional staff review.
c. Request Approved	(1) Originator notified.
	(2) Submitted to President for approval.
	(3) If no remodeling is involved, originator and others affected are directed to arrange, move, or change as approved.
	(4) If remodeling or new construction is involved, the project enters remodeling request procedure at administrative review step. Campus Services works with affected units in carrying out necessary remodeling as approved.

CAPITAL CONSTRUCTION PROJECTS

These projects consist of all major construction/remodeling projects that are funded by the Serial Levy Plant Fund, State funds, or other external sources. An approved prioritized list is maintained for all active projects within this category. The Facilities Committee will periodically review this list and consider changes to it, including additions, deletions, or setting different priorities. An updated list is submitted to the President for review and approval.

REVIEW PROCEDURES

To ensure that the committee has adequate information on issues and that adequate student/staff involvement has been provided, the following procedures will be followed by the committee.

1. Preliminary Investigation. During the initial staff review period, the appropriate vice president will ensure that all affected parties are informed of an issue's status and are given the opportunity to provide input on the issue to the vice president or Facilities Committee. The vice president will inform all affected parties of alternate solutions developed by the committee and afford them the opportunity to discuss these with the vice president or the committee.

2. Proposed Decision. When the committee has chosen the best solution to a problem, the vice presidents will inform all affected parties of the proposed recommendation. If no objections are voiced within one week, the decision becomes final. If there are objections registered, the vice president will appoint one or more representatives from the objecting department(s) to appear before the Facilities Committee to express concerns about the proposed decision. Following this meeting, the committee may announce its final recommendation or remand the issue for further study before developing another proposed recommendation.

3. Administrative Appeal. Any affected department that disagrees with the final decision may appeal to the President to request a public hearing on the decision. The President will direct the committee to hold one or more public hearings on the issue, after which the President will either announce a final decision or instruct the committee to study the issue further.

4. Emergencies. If an issue develops that requires a decision within a time period that would not allow for the above process to be completed, the committee may, with the President's approval, alter procedures to allow for as much staff review as possible and still arrive at a decision within the time available.

Repair or Service Requests (1)

REPAIRS, INCLUDING REPAINTING

The Physical Plant Department is authorized to repair or repaint any damaged areas that warrant such attention. "Repair" is defined as work that would return the office to its original condition, but does not include modification or changing of colors.

MAJOR REPAINTING OF OFFICES

Complete repainting of offices or repainting of an office in a different color requires the approval of the appropriate cabinet member. Normally, complete repainting or color changes will be approved only as part of a budgeted repainting program for the building in question. Under these circumstances, individuals will have options available in the form of accent colors that are part of an approved family of colors established for the building.

ALTERATIONS TO OFFICE DECOR OTHER THAN PAINTING

Advance approval by the Administration Cabinet is required for any alterations or installations in existing offices that could result in the permanent damage or permanent alteration to any part of the office. Other minor installations, such as pictures, posters, and furniture must be approved by the employee's supervisor.

Physical Plant is required to have prior administrative approval before providing any labor to install decorative items or furniture that are not part of a campuswide theme. Furniture, carpeting, accent lights, etc. may be installed at the individual's expense, but only if the installation does not damage the interior surfaces of the office. Prohibited are any installations involving nonremovable adhesive on the floor, walls, or ceiling, drilling of holes, or other damage to the office.

Selection of items to be placed in offices should take into account reasonable aesthetic consideration as well as fire and safety regulations. These guidelines should provide sufficient individual flexibility.

Repair or Service Requests (2)

During the year, departments may find the need to solicit services of the Physical Plant Office. In order to maintain control of these requests, the Physical Plant Office uses a computerized work order system to manage the thousands of work order requests it receives each year.

All requests for service should be submitted to Physical Plant on the work order form. The work order computer is on line from 8 a.m. until 5 p.m. The priorities for the operator are the following:

- Emergency service requests
- Routine service requests
- Respond to personnel on status of service requests

All service requests except emergencies should be submitted through normal College distribution channels, hand carried, or faxed to the Physical Plant Office. Whenever possible, a minimum of three working days lead time before "required date" of the work/service request is necessary.

Emergency requests may be telephoned directly to the work order computer operator. Examples of emergencies are the following:

- Injuries or possible injury to personnel
- Overflowing commode
- No lights in classroom
- Chemical spill
- Loss of power

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Any nonemergency call interrupts the processing of all service requests; therefore, it is highly recommended that any routine order be processed through normal College distribution channels.

Safety

ENVIRONMENTAL AND OCCUPATIONAL SAFETY SERVICES

The main function of the Office of Environmental and Occupational Safety Services is to help all members of the University—faculty, staff, and students—by providing safe and healthy conditions for work, research, and study. This office alone cannot make the University a safe place. Safety begins in the labs, shops, offices, and dorms where we work and live. It is the responsibility of every employee and student at the University to use common sense and to look out for his or her safety and the safety of others.

Health and safety programs deal with risk. While there is no such thing as "zero risk," the University's health and safety programs are designed to minimize unreasonable risks through sound, common sense safety practices. There are many federal, state and local laws, regulations, and standards that have been promulgated to protect the health and safety of workers, students, and the environment. Part of the job of this office is to help departments and individuals comply with these laws. Environmental and Occupational Safety Services keeps abreast of these laws and translates them into health and safety practices and programs that fit into the unique requirements of the University as a teaching and research institution.

Accident Reporting

In case of a major injury, contact campus police for an escort to a medical facility. After treatment of the injury, notify Human Resources. In case of a minor injury, provide first aid immediately.

once the injury has been treated, please complete the forms noted below. Send a copy of the completed forms to the Human Resources Department and file the original in the department's Health and Safety File. Human Resources will send a copy of the form to the University Safety Officer.

- Supervisor: Complete the claim investigation form.
- Injured Person: Complete the accident report form.

Resources

Environmental and Occupational Safety Services is located on the third floor of the Plant Services Building. It is currently staffed by a part-time staff member. Additional human resources include a part time graduate student assistant and undergraduate work-study student assistants.

The operation is supported by a budget within the Plant Services Department. Additional resources include emergency response equipment for hazardous materials incidents, test and measurement equipment for safety-related equipment, a health and safety reference library, and miscellaneous computer hardware and software.

Campus Safety Committee

The office represents the "working arm" of the University Campus Safety Committee. This committee, which meets on the second Thursday of every month (September through May) is comprised of faculty, staff, and students of the campus community. Its primary objectives are to assure a safe University community, and to review the University's compliance with all environmental and occupational regulations.

Resource Access

The primary access to the office of Environmental and Occupational Safety is by telephone. Messages will be recorded at the following extensions, if personnel are not available. Messages to this office can also be sent via E-mail.

EMERGENCY ACCESS: WHAT IS AN EMERGENCY?

Emergency: An unforeseen event that calls for immediate action to protect individuals, the environment, or property.

Health-threatening emergency: An emergency in which there is a clear potential for serious injury to a person if immediate action is not taken.(If in doubt, consider the emergency health threatening.)

Nonhealth threatening emergency: An emergency in which there is not a clear potential for serious injury to any person.

For emergency services, Campus Police must be notified. The staff of Environmental and Occupational Safety Services can also be reached by calling Plant Services. Staff personnel will be paged in the event of an emergency situation.

Programs

The following items are covered under this office:

- Hazardous waste
- Hazard communication
- Personal protective equipment
- Hazardous materials emergency response
- Material safety data sheets
- Facility inspections
- Safety watch newsletter
- Medical waste
- Chemical hygiene plan
- Accident investigation
- Chemical inventory
- Bloodborne pathogens
- Education and training
- Asbestos management

If you have any questions or concerns regarding health and safety issues on the University campus, do not hesitate to contact the office as listed above.

CAMPUS WASTE REMOVAL

Nonhazardous Waste Removal (Trash)

In most areas of the campus, nonhazardous trash removal is accomplished by the custodial workforce. Trash pickup schedules for each building are arranged by the manager of the custodial workforce. In certain residential areas, occupants are responsible for their own trash removal. Trash is removed from buildings to any of a number of dumpsters or compactors located in various areas of the campus. This trash is removed from campus by the University's trash removal vendor on a regularly scheduled basis.

Recycling of Scrap Metal

Metal should not be discarded into the normal trash stream because it makes the trash unallowable for dumping at the trash-to-energy plant and also at some landfills. This increases the cost of trash removal. Provisions have been made to accept scrap metal in a dumpster located behind the Campus Police station. Departments having quantities of scrap metal or obsolete equipment for disposal are encouraged to call Plant Services and make arrangements for its removal.

Recycling of Paper

The recycling program at the University is strictly voluntary. Individuals are responsible for depositing recy-

clable materials in any of the 50 green barrels located throughout campus. Containers are located in all academic buildings, as well as in North Hall (by the Mail Room), Residential Life Office, Counseling Center, and Continuing Education.

Types of paper currently acceptable for recycling are blueprint paper, NCR and fax paper, manila envelopes, white ledger paper, plain white envelopes, colored/coated paper, printed white ledger paper, copy and laser-printed paper, and computer paper.

Items currently not acceptable for recycling include coffee cups/paper plates, plastic-covered paper, newsprint and magazines, tissue paper and napkins, brown kraft paper, window envelopes, carbon paper, and bindings. This material is picked up weekly by the University's recycling contractor. As market conditions dictate, other items will be considered for recycling.

Service Chargebacks (1)

The Physical Plant Office is a University service organization and will not normally charge for its services. However, it will be reimbursed for the following:

- Labor and materials for any nonuniversity-sponsored event for which admission is charged, regardless of when the event is held.
- Labor and materials for all other events, regardless of when held, for which there is a contractual agreement for use of University facilities by an outside organization, even if admission is not charged. Normally this would include all events for which Physical Plant services are requested by the Public Relations Office.
- Materials for any in-house work performed by Physical Plant for other departments that is not routine or preventive maintenance or funded by capital projects. An example of this type of reimbursable service is the construction of bookshelves.
- Total contract cost for work performed for a department that is not routine or preventive maintenance or funded by a capital project and the work is beyond the in-house capability of the Physical Plant Office. An example is the installation of carpet in a previously uncarpeted area. Repair of carpet is routine maintenance and will be paid for by the Physical Plant Office.
- Labor and materials for reimbursable damages, such as vandalism of elevators, recharging of fire extinguishers, abuse of fire alarm/smoke detection systems, replacement of mutilated or missing signs, and replacement of missing residence hall keys.

The University's custodial contractor is required by contract to provide specific housekeeping services for designated areas. This is at a fixed price per month. The contractor is authorized additional compensation for the following:

- Cleaning areas not specified in the contract or cleaning specified areas at a greater frequency than called for in the contract.
- Extra cleaning services for special events for which there is less than seven days prior notification.
- Required work on Memorial Day, Fourth of July, Labor Day, Thanksgiving Day, Christmas Day, and New Year's Day.
- Extraordinary events that affect the contractor's costs, such as riots and acts of God. Reimbursement for such events is negotiable.
- Cleaning services for events held in food service areas, since these areas are not covered by the custodial contract. Arrangements for cleaning services for events held in these areas will be made through the Physical Plant Office.
- Cleaning services for Main Auditorium after events for which admission is charged.
- Cleaning services for events held in the West Center when there are concession stands selling food or drinks.

Service Chargebacks (2)

It is the generally accepted function of Plant Services to maintain, repair, or replace (when structures or systems are deemed unserviceable or unrepairable) currently existing structures and systems. Additions or modifications to the above are the financial responsibility of the department requesting them unless prior approval has been received from the Director of Physical Plant. When the requesting department is furnishing the funds, Plant Services will issue, upon request, an estimate for the work to be accomplished.

Other reimbursable services include custodial, grounds, trades, and rental charges pertaining to special events. Departments for which Plant Services purchases work uniforms, safety shoes, safety glasses, and other related items are also charged. Auxiliary operations areas are charged for services performed by tradespeople and custodians, for custodial supplies furnished, for fire extinguisher services, etc.

Billing

Billing for services or work done by Plant Services is generally accomplished as soon as the service has been performed. Current policy is to bill within one week of the completion of the service. Additional information regarding billing is available by calling Plant Services.

Surplus Material

Institutional property that has been determined to be either surplus or obsolete is to be disposed of through the Physical Plant Department.

A school or department having surplus or obsolete material should give the Physical Plant Department a written statement that includes the following information:

1. Description of item
2. Room in which item is located
3. School or department to which item is charged (owner)

All such material is to be transferred to the stockroom for further disposition.

Receipts from sale or disposal of material are to be credited to the budget of the school or department declaring the surplus.

Use of Campus Facilities (1)

The following procedures relate to all college facilities, including the Advanced Technologies Center, the Activities Center, and the Fine Arts Center.

FACILITIES USE AND RENTAL PRIORITIES

Use of facilities, other than for credit instruction, must be approved by the person responsible for scheduling these facilities. Scheduling of College facilities and grounds will be done within the following order of priority:

1. Instructional facilities (including all classrooms and labs, but not including computer, television, recreational, performance, technical, and specialized facilities
2. Computer facilities
3. Television facilities (including television production and audio production studios, post-production television editing and photographic reproduction, and satellite teleconferencing facilities):
    A. College credit instruction
    B. College noncredit instruction
    C. College student, faculty, or staff organization event

D. College-sponsored or cosponsored event

E. Community nonprofit organization event

F. Commercial for-profit organization event

4. Recreational facilities (including the Activities Center, tennis courts, par course, and playing fields):

A. College credit instruction

B. College programs and activities designed by the facility supervisor specifically for that facility

C. College noncredit instruction

D. College student, faculty, or staff organization event

E. College-sponsored or cosponsored event

F. Community nonprofit organization event

G. Commercial for-profit organization event

5. Performance facilities (including Center Hall's theater, lobby, gallery, dressing and makeup rooms, but not including Arts and Humanities classrooms and labs):

A. Center Hall event

B. Arts and Humanities Division event

C. Student Life event

D. Continuing Education or Community Services event

E. College-sponsored or cosponsored event

F. Community nonprofit organization event

G. Commercial for-profit organization event

6. Technical facilities (Advanced Technologies Center):

A. ATC-contracted training delivered by ATC

B. ATC-contracted training not delivered by ATC

C. College credit instruction

D. College noncredit instruction

E. Commercial for-profit organization event

F. College student, faculty, or staff organization event

G. College-sponsored or cosponsored event

H. Community nonprofit organization event

7. Specialized facilities (including district board room, foundation board room, library, offices, office conference rooms, parking lots, specialized labs, Computer Services, fitness center, free weight room, and campus grounds) are not normally available for rent.

8. A College student, faculty, or staff organization event is defined as an activity involving the group's members and guests, to which the public is not invited. The Class 1 rental rate will apply.

9. A College-sponsored event is defined as an activity sponsored solely by a College organization to which the public is invited. The Class 1 rental rate will apply.

10. A College-cosponsored event is defined as an activity sponsored mutually by a College organization and by a non-College organization, to which non-College organization members or the public is invited. One-half of the Class 2 or Class 3 rental rate (whichever is applicable) will apply and may be paid by either or both cosponsors.

11. Individuals and organizations renting facilities at the College shall be subject to the rental rates as indicated in this procedure. Any variation from the stated rates requires prior approval by the President or his or her designee.

RENTAL CONTRACTING RESPONSIBILITY

1. Rental of instructional and computer facilities will be contracted through the Continuing Education and Community Services Division.

2. Rental of recreational facilities will be contracted through the Health, Physical Education, and Recreation Division.

3. Rental of performance facilities will be contracted through the Center Hall office.

4. Rental of technical facilities will be contracted through the Engineering Technologies Division.

5. Rental of television facilities will be contracted through the Instructional Television and Media Services Office.

RENTAL CLASSIFICATIONS

Class 1: College division or department, student, faculty, or staff organization re-established within the College structure and county public elementary and secondary schools and school districts for curricular and other educational activities as approved by the College (does not include personnel and audiovisual/television charges).

Class 2: 501 (c)(1-11) nonprofit tax-exempt corporation, community/civic organization, church, fraternal body, private school, hospital, other college/university/education unit, or government organization/agency as defined by the Internal Revenue Service. No admission, membership, participation fee, donation, or offering may be charged or taken for the event.

Class 3: The same organizations defined in Class 2, except that an admission, membership, participation fee, donation, or offering will be charged or taken for the event.

Class 4: Any organization, institution, agency, group, or individual not included in Class 1 or 2.

INELIGIBLE RENTAL ACTIVITIES

1. The serving, consumption, or promotion of alcoholic beverages (except with special prior approval from the office of the President).

2. Activities or programs that are in conflict or in competition with the mission of the College.

RENTAL PROCEDURES

1. The Campus Services Office will maintain the computer scheduling system.

2. Scheduling of instructional, recreational, computer, and television facilities will be on a first-come, first-served basis and no more than one academic quarter in advance.

3. Facilities shall be reserved in writing using the appropriate facility request/contract form. All information requested on the form must be completed.

4. A minimum of one week's notice is normally required to grant rentals.

5. Any admission charges made to participants or patrons shall be stated on the written facility request/contract form.

6. Renters who fail to provide adequate prior notice of cancellation of an event may be subject to assessment of fees and any out-of-pocket expenses incurred by the College.

7. Representatives who sign the facility request/contract form for internal or external rental organizations are responsible for the conduct of participants, patrons, and guests and for enforcing all College regulations. Abuse of facilities will result in denial of future facility rentals.

8. The facility request/contract form for College student organization events must be approved by the group advisor and signed by the Director of Student Life.

9. All instructional room change requests must be processed through the appropriate division director.

10. Rental organizations may not assign or sublease any facility or grounds reserved or contracted for their use.

11. County organizations shall have rental precedence over out-of-county organizations, all things being equal.

RENTAL CONDITIONS

1. Facility security will be under the control of the College, and rental activities are open to inspection by College officials at all times.

2. The College is a nonsmoking facility. Smoking is not permitted in any buildings.

3. No person or organization shall be excluded from rental or use of College facilities because of age, sex, race, color, creed, disability, national origin, or sexual orientation. No rules or regulations may be promulgated by a rental organization that discriminates against any person or group or excludes them from use of College facilities or participation in rental activities.

4. Parking will be provided for rental participants and patrons to the extent that facilities are available. Rental participants and patrons are to park in lots designated for students. Parking lots are not available for purposes other than their intended use.

5. Unauthorized use of College facilities and grounds may result in immediate eviction and criminal/civil liability.

6. Rental organization participants and patrons shall not arrive before their contracted time period and must leave at the conclusion of their contracted time period.

7. Keys to facilities may be given to authorized College employees only, and facilities shall be opened only by College employees.

8. Youth or children's groups shall be supervised at all times by responsible adults provided by the rental organization.

9. College furniture and equipment shall not be displaced, altered, or removed without permission from an authorized College employee.

10. Materials used for decoration shall be flameproof and shall be removed at the conclusion of the event.

11. Permission to serve food or beverages shall be requested and approved on the facility request/contract form.

12. Promotion and advertising materials to be posted on campus in conjunction with a rental event must be approved for content and placement, prior to their distribution, by the College official responsible for approving the facility request/contract form. All materials, including directional signs, must be removed immediately after the event. Materials shall not be attached to painted surfaces.

13. Approval for use of facilities may be revoked by the College in an emergency, when use interferes with regular College use when facilities are misused, or when College regulations are violated. The facility request/contract form will not be renewed once revoked for misuse.

14. Individuals and groups using the buildings and grounds shall be required to assume responsibility for loss or damage of equipment, damage to buildings and grounds, and shall be held responsible for financial losses sustained by the Board of Trustees. Abuse of College facilities may result in denial of future facility rentals.

15. The applicant shall become familiar with the physical condition of the College facilities and grounds to be used. The College makes no representations, of whatever nature, in connection with the condition of the College facilities and grounds, and the College shall not be liable for any latent or patent defects therein. Authorization is given for entrance to specific areas only and for use of specific facilities only.

16. The applicant will hold the College harmless, at all times, from any claims or damage on account of injury to anyone using the College facilities and grounds in connection with the function sponsored or operated by the applicant and/or growing out of use and occupancy of said facilities and grounds, or through any defect in said premises, including the sidewalks adjoining the same and use or operation thereof.

17. Any personal property in the College facilities or on College grounds shall be kept at the risk of the person bringing it thereon. The College shall not be liable for any damage to said personal property, or the applicant, or anyone using the facilities and grounds in connection with the function sponsored or operated by the applicant arising from the accident or neglect of any other person whatsoever.

RENTAL RATES

An additional charge may be made for audio/visual equipment and personnel and for security and maintenance personnel.

Use of Campus Facilities (2)

1. All publicity for events not sponsored by the College shall include the phrase "Using the facilities of the College."

2. A certificate of insurance, as evidence that the College is protected as additionally insured, must be submitted to the College Business Office at least 10 days prior to the date of the event.

3. The user accepts full responsibility for any damage done to the structures, fields, collections, or facilities of the College and agrees to protect, indemnify, and save the College from all liability resulting from the use of such facility.

4. The user shall be held responsible for the preservation of order during the period of his or her use of the College facility. The College may require the employment of security personnel at the user's expense. Appropriate College personnel must have free access to all facilities at all times.

5. Audiovisual needs that are provided by the College's Media Services Department will be at the user's expense.

6. Physical Plant charges will be based on the time expended by College employees for services provided.

7. Setup and electrical needs must be supplied to Physical Plant 10 days prior to the event.

8. No smoking is permitted in any academic or administrative building on the College campus, including the Union Building.

9. No alcoholic beverages may be served at non-College functions.

10. Putting up decorations or scenery, or moving furniture, including pianos, room dividers, or other college property, is prohibited unless written permission is secured from the College employee responsible for overseeing the event.

11. Nothing will be sold, given, exhibited, or displayed without permission of the College agent.

12. Groups sponsoring activities that meet the previously noted guidelines may accept donations on site. These donations are to be handled only by members of the group sponsoring the activity and not by any College employee. In addition, the public must be informed that the sponsoring organization, not the College, is the donee. This notice may be in the form of a posted sign and/or printed material distributed at the activity.

13. Interest groups, including but not limited to religious and political organizations, may be granted permission to disseminate noncommercial information and literature and to hold discussions with patrons to inform them of the goals of the organization. Specific locations and times for these activities shall be mutually agreed upon by the College and the user. The College reserves the right to limit the number of people authorized to take part in such activities. Fund-raising activities by any group are not permitted.

14. All tax liabilities are to be assumed by the user.

15. All users of College facilities are required to have a policy in their activities and programs of nondiscrimination on the basis of sex, race, color, national origin, age, sexual orientation, or handicap as defined by law.

Vehicles (1)

IN GENERAL

Vehicles, including passenger cars, vans, and buses (see special requirements for bus drivers), are available for use by the College staff on approved College business. These vehicles will be assigned on a first-come, first-served basis, except when the vehicle involved has been purchased by the motor pool to meet special needs of an individual department. In this instance, that department will have priority as much as possible. Scheduled vehicles may be changed by the Vehicle Scheduling Clerk in instances where schedule changes would benefit the College. To schedule a vehicle, call the Vehicle Scheduling Clerk 24 hours in advance of a planned trip.

All drivers must possess a valid State driver's license. (See special requirements for bus drivers.)

VEHICLE CHARGES

All College drivers must be certified by the Security and Auxiliary Services Department before using College vehicles. This certification consists of registering the driver's license with Security and reviewing a driver's record. The certification must be renewed at least annually.

The rate schedule is as follows:

Car usage	$.15 X actual miles driven
Van usage	$.35 X actual miles driven
Bus usage	$.50 X actual miles driven

This rate schedule covers College gasoline pump charges, credit card charges, and equipment maintenance. (These rates may vary as gasoline prices fluctuate.)

PROCEDURES

The following procedures will govern vehicle scheduling and use:

1. Initial vehicle reservations for trips may be made by a telephone call to the Security and Auxiliary Service Department. An intercampus service request form must be completed for all trips. The form must contain the following:

    A. Proper approval signature (budget authority)

    B. Account number to be charged

    C. Date(s) and time of vehicle use

    D. Approximate time of return

    E. Purpose of trip

2. A packet containing special information, vehicle keys, credit cards, and a vehicle trip form is issued by the Vehicle Scheduling Clerk in the Security Office of the Campus Services Building and must be returned completely filled out when the vehicle is returned. Gas, oil, and other receipts must be included in the packet.

3. Vehicles must be returned on time. Delays will disrupt the schedule of subsequent users. First-time failure to return a vehicle at the agreed time or the loss of credit cards, keys, or alteration of vehicle will result in a written report to the offender's supervisor. Second-time offenders will lose vehicle privileges for six months. Gross negligence, such as failure to report an accident, will result in a loss of vehicle privileges.

4. Vehicle gas tanks will not be filled off campus unless necessary to return to campus. A gas pump, operated by Campus Services, is located near the northeast corner of the Campus Services Building.

5. Whenever a vehicle is filled with gas off campus, the oil level must be checked.

6. All damages and/or accidents must be reported on the proper accident forms immediately upon return to campus.

7. All drivers must exercise reasonable care for emergency equipment stored in the vehicles. The driver's department will be charged for any loss of such equipment. An emergency equipment check-off list is a part of the vehicle packet.

8. Family members are not permitted to accompany staff on trips made in motor pool vehicles, unless they are also staff members, are students conducting business for the college, or are on an assigned field trip.

9. Vehicle operators must observe safe and legal driving practices. They will be held personally responsible for any citations received during a trip, except for cases involving equipment failure. In case of equipment failure, the College may check out the equipment and provide certifications to the driver for his or her legal defense.

MINOR DRIVERS

All drivers under 18 years of age using a College vehicle or a personal vehicle for College business must have the approval of the Office of the Vice President for College Operations in addition to the regular requirements. Information including the driver's name, date of birth, and driver's license number must be provided to allow a routine check and approval, prior to vehicle use. This approval process normally takes 10 school days.

COLLEGE BUSES

College buses must be used only for College business and are not available for non-College or private organizational use.

The following driver regulations apply to the operation of College buses (except the mobile classroom and buses holding less than 16 passengers):

1. All drivers must be employees of the College, registered students under the direct supervision of a College staff member, or an authorized volunteer.

2. All drivers must be checked out on the equipment by the maintenance supervisor or by his or her designee. This check out is arranged by contacting the Vehicle Scheduling Clerk.

3. All drivers must possess a valid State Class II (Chauffeur's) license.

4. All drivers must possess basic knowledge of first aid (i.e., holders of a current multimedia Red Cross first-aid card or other acceptable certification).

5. All drivers must submit a trip plan and passenger list that include names of passengers, whom to notify for each passenger in the event of an emergency and the appropriate telephone numbers, prior to receiving the vehicle packet.

The above regulations apply to all drivers, either primary or backup, of College buses while transporting students or other scheduled passengers on College business. They do not apply to individuals who must drive the buses during an emergency or for maintenance.

A College employee must accompany the bus on all trips.

The College will pay the added cost of the Class II license fee for College employees required to operate College buses as part of their job responsibility. Reimbursement requests may be presented to the Office of Security and Auxiliary Services.

REVOCATION OF DRIVING PRIVILEGES

Any person who has been identified as a problem driver or who has established a bad driving record (e.g., three driving violations/accidents within a three year period) may have his or her College vehicle driving privileges revoked.

Vehicles (2)

GENERAL

The campus motor pool is a self-supporting service that has been established to enable College employees and students to meet continually growing travel demands. The campus motor pool is administered by Physical Plant but is under the general supervision of the Financial Vice President. Motor pool vehicles are available on a first-come, first-served basis and are subject to the policies and procedures contained in this section of the Policy Manual. Any vehicle request that involves an exception to the policies stated herein requires the prior approval of the Financial Vice President or his or her designee.

POLICY

Motor pool vehicles may be used only for official college business.

Only College employees or individuals authorized by the College are to use motor pool vehicles. All drivers of motor pool vehicles must possess a valid driver's license. At no time should family or friends travel in college vehicles. No vehicle may be retained overnight at an employee's home without prior approval of the Financial Vice President or his or her designee.

Reservations for motor pool vehicles should be made as far in advance as possible by submitting to Physical Plant a memorandum indicating the dates and type of vehicle to be reserved. A vehicle release order with the signature of the authorizing administrator should be sent to Physical Plant to be received no later than 3:45 p.m. of the day prior to the scheduled vehicle pick-up date. Vehicles will not be released without a signed vehicle release order.

Charges for the use of motor pool vehicles will be evaluated periodically for adequacy and are subject to change. When a vehicle is checked out and returned on the same day, the vehicle must be promptly reported to Physical Plant. When a vehicle is not returned on the day it is checked out, the charge will be the amount for the miles traveled, plus the daily charge for each day the vehicle is out, except the first day.

For security reasons and in order to meet scheduling commitments, motor pool vehicles must be returned to the Physical Plant parking area after each use. For after-hours returns, the vehicles should be parked and locked near the Physical Plant parking-compound entry and the vehicle keys dropped through the key drop located in the Physical Plant garage door. Failure to return motor pool vehicles to the designated areas at the specified time may result in an additional daily charge assessment and may delay the departure of the next user.

All vehicle users must observe the following legal and safety considerations:

1. Vehicles must not carry more than the prescribed passenger limits.

2. Drivers and passengers must have seat belts fastened at all times while driving or riding in college vehicles.

3. State and local traffic laws must be obeyed at all times. Traffic violations will be the personal liability of the vehicle user.

4. In case of an accident involving a college vehicle, reports, as required by law and as prescribed in this policy, must be filed.

5. Any vehicle problems, mechanical or otherwise, that have developed with a vehicle must be promptly reported to Physical Plant.

All accidents involving college vehicles must be reported as follows:

1. It is the driver's responsibility to make reports to law enforcement agencies as required by law.

2. Details of an accident are to be reported directly to the Office of Financial Affairs. The State accident-notice forms and instructions are placed in each motor pool vehicle for use in making the accident report.

HUMAN RESOURCES

INTRODUCTION

This complex section includes policies and procedures for getting things done in the area of personnel administration, but also includes policies specifically designed to meet legal requirements and the social goals of the institution. So, along with such topics as recruitment, hiring, job classifications, pay levels, and terminations, we also find coverage of affirmative action, family leave, accommodation to disabilities, banning of drugs and alcohol, and protection from bloodborne pathogens. Indeed, legal requirements influence much of the content of this section, more so than any of the other sections.

Institutions frequently publish human resources policies (or, the older term of personnel policies) in separate booklets issued to all employees. Some do separate booklets for different classes of employees—faculty and others, exempt from the Fair Labor Standard Act or nonexempt, union represented or not, civil service classified or not, or a mixture of these. A clear understanding by employees of all the policies related to their employment contributes to both employee morale and institutional effectiveness.

By publishing human resource policies, the institution may be creating an enforceable contract with its employees. For this reason, legal counsel should review the contents to verify compliance with applicable laws and regulations and also to identify legal ambiguities that could cause unintended consequences or give rise to protracted litigation. This is particularly important in matters involving promotion, discipline, or termination, where disappointed or angry employees may seek relief from the courts. The courts would look to see that the institution followed its stated procedures and applied them in a manner that was consistent, fair, and equitable.

Written policies tailored to specific laws, such as the Federal Family and Medical Leave Act and the Americans with Disabilities Act, are important ways of demonstrating to the community, and to the courts if necessary, an institutional good-faith effort to comply with the requirements of those laws.

Deviations or exceptions from stated human resources policies can cause problems for the institution. Subsequent employees desiring the same treatment may cite the deviation as a precedent, and the courts may agree. Of course, an institution can change a personnel policy, but the change should then apply to all who are affected and be published.

This important area requires careful and expert administration to further the goals of the institution.

AIDS, HIV, Hepatitis B (1)

POLICY

Purpose

The University has developed this policy covering acquired immune deficiency syndrome (AIDS) because of the dramatic increase in the disease, its life-threatening results, and the emotion connected with this issue.

Definition

AIDS describes an impairment of the body's immune system, the mechanism which helps people fight infection and disease. When this system is not functioning correctly, the individual becomes vulnerable to unusual infections and other illnesses that are life threatening. These include opportunistic infections such as pneumocystic carinii pneumonia, chronic cytomegalovirus (CMV) infection, unusually severe shingles and herpes simplex, and certain bacteria (including one that causes a form of tuberculosis). Kaposi's sarcoma (KS), a skin cancer, has also been associated with AIDS.

Transmission

All available evidence suggests that AIDS is transmitted through bodily fluids such as blood and semen. This exposure to bodily fluids can occur during sexual contact, by sharing intravenous drug needles, and through blood transfusions. No one has contracted the disease from casual or even close daily contact. In fact, family members, other than sexual partners of people with AIDS, have not developed AIDS.

Philosophy

The University shall treat AIDS the same as any other disease that may be contracted by staff members.

AIDS, HIV, Hepatitis B (2)

The College seeks to comply with the regulations of the U.S. Department of Labor's Occupational Safety and Health Administration (OSHA) concerning bloodborne pathogens.

Due to the risk of occupational exposure to blood or other potentially infectious material, any new employee or employee transferring into a job area considered "at risk" for exposure to bloodborne pathogens is offered vaccination with hepatitis B vaccine at no charge. Other employees whose job might place them "at risk" will be offered the hepatitis B vaccine, at no charge, after an exposure incident has occurred. Education is provided concerning occupational exposure to hepatitis B and HIV on an initial and on-going basis to all employees and student workers considered at risk. At-risk employees includes but may not be limited to athletic trainers, Health Center staff, custodial staff, Residence Life staff, Safety and Security, lifeguards, and intramural facilitators.

PROCEDURE

1. The department head, manager, or supervisor is responsible for the following:

   A. Notifying the employee of the policy and procedure regarding occupational exposure to hepatitis B and HIV.

   B. Scheduling an appointment at the Health Center for any new employee to view a film on occupational exposure to hepatitis B and HIV. (After education has been provided, the employee will be given the opportunity to ask questions and must then sign the appropriate consent/refusal form.)

2. The Health Center staff is responsible for the following:

   A. Scheduling the employee for education concerning occupational exposure to hepatitis B and HIV as soon as possible.

   B. Answering questions, as necessary, concerning occupational exposure.

   C. Witnessing the signing of the consent/refusal form.

   D. Administering the hepatitis B vaccine according to established protocols.

   E. Keeping records concerning education provided and vaccine status for all employees.

   F. Providing on-going, annual education for all employees and student workers considered at risk.

Affirmative Action

(see also Equal Employment Opportunity)

STEP 1

Recruitment "sign-off" must be received from the Affirmative Action Director before releasing the announcement of any faculty or exempt-position vacancy, including full-time, part-time (50 percent or more), or temporary appointment (e.g., sabbatical replacement).

1. Supply two copies of the vacancy listing (form AA-1) to the Affirmative Action Director (AAD). When they have been received and reviewed by the AAD, one copy will be signed and returned to proceed with advertising of the position available.

2. Two copies of the job description are to accompany the vacancy listing. (If there is an old description and a revised description, please supply both.)

3. Provide plans for advertising and specific contacts to be made (names and locations).

STEP 2: SEARCH AND RECRUITMENT PREPARATION

Review specific plans for the search and recruitment processes with the AAD. This review should include plans for actively seeking applicants from racial and/or gender groups that are currently absent or scarce in the unit work force.

Victims of AIDS or other diseases will be permitted to work and participate in other University-sponsored activities unless the staff member's personal physician, campus medical officials, or public health officials declare that such participation represents a substantial risk to the health and safety of other members of the community. In such instances, appropriate measures will be taken to protect the institution and the individual.

PROCEDURE

Information

Supervisors and staff members who have questions about AIDS should feel free to call University Health Services to find out more.

Education

Health Services will disseminate accurate and objective educational information on AIDS to the campus community. Faculty or staff seeking advice regarding AIDS will be provided with appropriate information by Health Services and will be referred to their personal physicians or appropriate specialists for diagnosis and treatment.

Confidentiality

The physician/patient privilege and a patient's right of privacy, which are derived from the United States and the State's constitutions, dictate that information regarding a patient's diagnosis as having AIDS should be maintained in the strictest confidence possible. The duty to report such information is limited only to those situations where there are specific government reporting requirements or a medical justification for the disclosure of that information.

In the event that a personal physician or public health official determines that an individual's medical condition represents a public health hazard and warrants limitation of activities, only essential administrative personnel will be informed, on a need-to-know basis.

It may be necessary to announce to contacts the identity of an individual who has contracted the disease, in the event of a life-threatening situation. Such information will not be divulged without prior discussions with appropriate medical authorities and the University's Counsel.

Association

There is no legal justification for a University employee to refuse to work with an AIDS patient or someone he or she believes to be an AIDS patient. An employee who so refuses should be counseled regarding the disease. Each supervisor shall seek the medical advice of Health Services and the advice of the personnel office, prior to providing such counseling. In view of the fears that many people have concerning AIDS, every effort shall be made to allay the legitimate concerns of an employee. Thereafter, continuing refusal by that employee may be grounds for disciplinary action. A supervisor should seek the counsel of the personnel office on campus prior to taking such action.

Special Instructions

Health Services employees and personal service workers such as custodians will follow guidelines issued by the Centers for Disease Control for the prevention of transmission of AIDS and other communicable diseases. Copies of the guidelines are available from Health Services.

For other employees, there is normally no need for special precautions; however, some staff may be exposed to blood or bodily fluids because of an accident, fire, or similar situation. By observing the following simple rules, these employees can avoid any risk of infection:

- Avoid wounds or punctures from personal items that could be contaminated with blood, such as razors, cuticle scissors, or sharp instruments.
- Wear disposable gloves when coming in contact with blood, bodily fluids, mucous membranes, or non-intact skin, in case of injuries.
- Wash hands after exposure to any possible source of infection. Hand washing reduces the chance of spread of infection.
- Call Custodial Services or clean up blood spills promptly with fresh, diluted household bleach (one pa bleach to 10 parts water).

1. Describe in detail the proposed selection process and criteria for selection.

2. Attach two copies of all selection forms or checklists being used in candidate selection (criteria checklist and rating forms).

3. List members of the search and selection committee. This committee should include women and/or minorities. The AAD will select an affirmative action monitor from this list. Usually, this will be the committee chairperson. It is not necessary that all members of the committee be faculty or staff members from within the department; faculty and/or staff members from other departments, students, or community people may also be asked to serve. Committees generally have five members and should not have fewer than three members.

4. The deadline or closing date for submitting applications will be a minimum of 45 days after the mailing of vacancy notices. There will be at lease three days of advertising in newspapers. Emergency vacancies can be filled in less time with approval of the AAD.

STEP 3: SEARCH RESULTS

1. During and following the search, assistance should be sought from the AAD to assure that—

   • procedures have been followed,

   • extra effort has been extended to seek women, minority, or disabled applicants if they are currently absent or scarce in the work unit,

   • efforts are clearly supported by documentation, and

   • the criteria for selection are objective and related to the criteria advertised.

2. If any search committee member does not feel procedures are being followed, he or she should contact the AAD.

3. Following the search, a report of the results shall be submitted on the report of selection procedures (form AA-2) to the AAD before an offer of employment is made. The AAD must certify that procedures of affirmative action have been followed before giving approval for the hiring official to extend an offer of employment.

4. In the event that the AAD cannot certify (sign-off) that appropriate procedures have been followed, the hiring officer will be notified. Arrangements will be made with the AAD regarding the proper course of action to correct the situation.

5. If certification of procedures cannot be granted at the end of Step 4 by the AAD, the forms, with explanation, will be submitted to the President for resolution of the matter.

STEP 4: REPORT OF HIRING

When the candidate accepts the position, a complete report of hiring (form AA-3) must be made.

Things to Know

Affirmative Action: Affirmative action eliminates underutilization of women and minorities. Positive steps must be taken to increase the number of women and minority group members in positions where they have not been traditionally employed. When the final applicant pool includes candidates who are equally qualified (in that the position could be offered to any one of them), the College Affirmative Action Compliance Plan requires that women and minorities be given preference.

Applicant Flow: Noncitizens are not considered minorities, but should be included in the applicant flow grid on the report of selection (form AA-2) with an asterisk to identify them.

Documentation: Document and keep applications (records) for minorities and women for three years. Keep records of the top three candidates for one year.

Extension of Offer: If at the end of the closing date you cannot find a qualified applicant, the hiring officer can extend the offer of employment when the AAD certifies that appropriate procedures have been followed. Note: After the original closing date, no one can be hired that is less qualified than those applying before the original closing date.

Interviews: Interviews are optional. It is necessary that an outline of interview questions be submitted for AAD approval. The hiring department may require that finalists appear for interview at their own expense, but the requirement must be uniformly applied. You may support one candidate's interview and not another. If applicants who have not yet been identified as interviewees request to visit at their own expense, they may come, but your meetings with them cannot be considered formal interviews.

You may conduct telephone interviews, but these too must follow a formal interview outline, including rating the applicant's responses to your questions. If you do choose to conduct telephone interviews, arrange for a conference call so that more than one person is taking part in the evaluation of the applicant. It is also important that some of the same people are involved in all the interviews.

Minorities: Minorities are citizens who are—

1. American Indians or Native Americans,
2. African Americans,
3. Hispanics, or
4. Orientals or Asian Americans, which includes ancestry in the Indian subcontinent, the region commonly referred to as the Far East, Southeast Asia, or the Pacific Islands, including India, Pakistan, China, Japan, Thailand, but not the Middle East.

Newspaper Advertising: The advertisement is a condensation of the vacancy announcement and needs only include job title, closing date, contact information, and the tag line "an AA/EO Employer."

Qualifications:

Required: These are qualifications that are minimum before the committee would accept the applicant. Required qualifications, once defined, are inflexible. An applicant who does not meet the established required qualifications will not be hired.

Preferred: These are qualifications that include any and all attributes the committee believes to be desirable in relation to the position. It is not expected that any candidate would possess all of the preferred characteristics, but if it is anticipated that possession of any specific attribute might be a reason for favoring one candidate over another, that attribute should be on the preferred list. Otherwise, it cannot be used as a discriminator.

Report of Selection (AA-2): The report of selection should be complete and detailed so that it will "stand alone" as explanation for the end results of selection, apart from applicants' folders, which are maintained in the departmental dean's files rather than in the Affirmative Action Office. Reasons should be stated in comparative terms so that differences between candidates are readily apparent.

At the end of the intermediate phase of selection, the AAD will review the process up to that point. The reason for "sign-off" with the AAD is to determine the adequacy of the pool and of the selection process. Remedial action here, should it be necessary, is relatively simple. Later, such action may be complex and costly.

Salary Range: The salary range must be defined initially for "in-house" record keeping, but it is not required that the salary range be advertised in the vacancy listing (form AA-1).

Screening: Screening is based specifically on the criteria of the vacancy announcement (required qualifications). As a time-saving measure, a member of the selection committee, or a departmental secretary, may conduct a preliminary screening of required qualifications that can be easily and unquestionably assessed in a yes/no judgment. However, if there are any questions about whether or not an applicant is minimally qualified, the applicant's file should be advanced to the intermediate phase. The file of rejects should also be available for review by members of the selection committee. The function of primary screening is to establish a pool of viable applicants. Intermediate screening is for finding the top candidates from the pool in an equitable fashion. Forms for this purpose should contain both a quantifiable rating scale and a comments portion to document a basis for the scale value. All criteria (required and preferred) should be evaluated on the form, but a variable weighting among criteria is permissible and in most cases desirable.

Americans with Disabilities Act of 1990

The College does not discriminate in the interviewing, hiring, or promotion of individuals on the basis of disability. The College is committed to compliance with the Americans with Disabilities Act of 1990 and its related section 504 of the Rehabilitation Act of 1973. It shall endeavor to provide reasonable accommodations requested by all employees with documented disabilities who are otherwise able to perform the essential functions of their jobs.

The Office of Disability Services for Employees in the Administration Building shall work with all employees and their supervisors in determining the most effective accommodations that can be reasonably provided on an individual basis. It shall maintain records of such requests and accommodations in a confidential manner.

Conflict of Interest

PURPOSE

It is the policy of the College that members of the faculty and staff shall refrain from accepting gifts or favors of significant monetary value ($50 or more), or engaging in private business or professional activities where there is or would appear to be a conflict between the individual's private interests and the interests of the College.

The College was organized and exists for the purpose of qualifying its students to engage in learned professions or other employment of society and to discharge honorably and usefully the various duties of life. A fundamental principle of such an endeavor is the application and use of high ethical and moral standards. The purpose of this policy is to assure all who look to the College for service and leadership that those people who teach and otherwise work in the employment of the College dedicate themselves to the welfare of the College and its students to the exclusion of ulterior purposes and conflicts of interest.

EFFECTIVE DATE

This policy is effective upon receipt.

ELIGIBILITY

This policy applies to all officers, faculty members, and other employees of the College and is intended to serve for the guidance of staff or their immediate families.

CONFLICT OF INTEREST

A conflict of interest exists when any individual covered by this policy has a relationship or engages in an activity that impairs or adversely influences his or her judgment with respect to policies promoting the best interest of the College and the public good, or that impairs or adversely influences the performance of his or her duties to the College.

A conflict of interest exists when a person benefits financially, either directly or indirectly, from his or her employment or appointment by the College excluding compensation and financial benefits paid or granted by the College.

DISCLOSURE

In any case where a conflict of interest exists or the appearance of a conflict of interest may exist, it shall be the duty of the person covered by this policy to disclose his or her interest. The person must reveal any interest in the organization or entity that may benefit from the person's association with the College, including any such beneficial interest a member of the person's immediate family may have because of the person's association with the College. .

Staff who perceive the existence of a conflict of interest shall not attempt to resolve the conflict or determine that the external benefits will not adversely affect the College, but shall make a full disclosure of the facts, circumstances, relationships, and transactions as follows:

1. Officers shall report to the President.
2. Faculty members shall report to the Vice President for Academic Affairs.
3. Other employees shall report to their immediate supervisors, who shall keep the appropriate officers of the College currently informed.

Reports shall be made promptly, and at the discretion of the person receiving the report shall be made in writing and signed by the person making the disclosure.

RESTRAINT ON PARTICIPATION

Staff covered by this policy are encouraged to avoid relationships and transactions that constitute a conflict of interest. When such situations cannot be avoided, the employees involved shall refrain from participating in consideration of the transaction affected by the conflict of interest, unless under special circumstances the College determines that their participation is imperative for the welfare of the College and the public good. If such a waiver is indicated, it shall be in writing and signed by the Officer or Board making the determination, and a copy of the waiver shall be provided to the Chair of the Board and the College Attorney.

Consensual Relationships

The College's educational mission is promoted by professionalism in student-faculty relationships and in supervisor-supervisee relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Taking note of the respect and trust accorded a faculty member by a student and to a supervisor by a supervisee, faculty and staff recognize that they are presumed to make decisions regarding their relationships with students and supervisees that will not endanger this atmosphere of mutual trust and respect. Faculty and staff should be aware of the possibility that an apparent consensual relationship with a student or supervisee may be interpreted (either now or at a later date) as nonconsensual and, therefore, sexual harassment.

The power differential inherent in faculty/student and supervisor/supervisee relationships may compromise the student's or supervisee's ability to decide, and thus call into question, the bona fide consensual nature of the relationship. The potential exists for the student or supervisee to perceive a coercive element in suggestions regarding activities outside those appropriate to professional relationships. Moreover, faculty and staff, particularly in relationships with students and people under their supervision, need to be aware of potential conflicts of interest and the possible compromise of their evaluative capacities. They also need to be aware that a relationship may give rise to a perception on the part of others that the evaluative capacity of the faculty member or supervisor has been compromised.

It is a violation of this policy for a faculty or staff member to undertake an amorous relationship or permit one to develop with a student or supervisee who is enrolled in the person's class or is subject to that person's supervision or evaluation, even when both parties appear to have consented to the relationship.

Amorous relationships between faculty or staff members and students outside the instructional and supervisory context are also strongly discouraged.

The College does recognize that consensual amorous relationships may exist prior to the time a student is assigned to faculty or staff, as a member of that person's class or is placed in a situation where the faculty or staff person must supervise or evaluate the student. It is also recognized that such a relationship may exist between coemployees prior to the time when one of those employees becomes the supervisor of the other. An amorous relationship is a recent amorous relationship if it is ongoing or has been in existence at any time within the six months immediately preceding the assignment of the student or supervisee to the faculty or staff member. Where the faculty or staff member has, or has had a recent amorous relationship with the student or supervisee, the following procedures shall be followed:

1. If at all possible, the student should be advised in his or her course selections to avoid course sections taught by the instructor with whom the student has or has had a recent consensual relationship. Efforts

should likewise be made to place a subordinate under the supervision of another supervisor where the supervisor has or has had a recent consensual amorous relationship with the subordinate.

2. In the event it is not possible for the student to avoid the class taught by the faculty member or for the supervisee to avoid the supervision of the supervisor, the faculty member shall advise his or her division chair and the supervisor shall advise his or her supervisor of the present or recent consensual amorous relationship and the following steps shall be taken:

A. The division chair shall appoint another instructor to evaluate the student's written work, such as essays, research papers, essay tests, care plans, etc.

B. The division chair shall appoint another instructor to evaluate the student's nonwritten work or performance, such as artistic performances, teaching practice, or clinical practice.

C. When an appropriate instructor is not available to evaluate the student's work, the division chair will provide the evaluation.

D. A supervisor will request that his or her supervisor evaluate the supervisee employee, and if such evaluation is not available, he or she will request that a supervisor of a related department evaluate the employee.

E. The supervisor will remove himself or herself from the consideration of the employee for promotion, hiring, or determination of salary.

F. A student should not be assigned to a faculty advisor with whom that student has or has had a recent consensual amorous relationship. The faculty advisor should request that the student be reassigned.

3. A faculty or staff member who fails to follow the policy set forth in subparagraph 2 above, and does not withdraw from participation in activities or decisions that may reward or penalize a student or supervisee with whom the faculty or staff member has or has had a recent consensual amorous relationship in accordance with this policy will be in violation of this policy.

People who are married, or were married, are included within the definition of those individuals having, or who have had, a consensual amorous relationship.

A complaint alleging violations of the policy regarding consensual relationships may be filed by any person where the process may be initiated by the Affirmative Action Office or Vice President for Academic Affairs.

Discipline

(see also **Termination of Employment**)

PURPOSE

It is the policy of the College to employ personnel who are willing and able to perform the functions of their jobs in a satisfactory manner, to observe the rules and regulations of the College and to devote their time and attention to the business of the College during working hours. From time to time, it may become necessary to counsel or discipline employees who for one reason or another fail to observe the goals set forth above. This procedure is intended only as a guideline to the commonly accepted steps a supervisor should take in correcting employee misbehavior.

It should be remembered that most employees can be counted on to exercise a considerable degree of self-discipline. They may be expected to respond to positive leadership and timely communication from supervisors. Disciplinary procedure should be used, whenever possible, in such a way and at such times as to reinforce in employees the desire to meet accepted standards of work and conduct.

The responsibilities that employees are expected to assume are communicated during their orientation period by their supervisors and should be re-emphasized by supervisors as required. This fosters two-way communication and should leave no question in the employee's mind as to acceptable work standards or behavior.

EFFECTIVE DATE

This procedure is effective upon receipt and supersedes all prior issued procedures.

APPLICATION

This procedure applies to all College staff.

The College shall have the right to discipline or summarily discharge an employee. Each case shall be evaluated on its own set of circumstances.

GUIDELINES FOR PREVENTING DISCIPLINARY SITUATIONS

Before taking disciplinary action, ask yourself the following questions:

1. Has the situation been identified in terms of a difference between expected performance and actual performance?
2. Has the expected performance been clearly communicated to the employee?
3. Has the employee received appropriate training in all aspects of the job?
4. Have any job requirements changed since the employee was initially trained?
5. Does the employee have all the time, tools, and equipment necessary to do the job properly?
6. What would prevent the employee from doing the job correctly if he or she really wanted to?
7. Does doing the job properly or quickly result in an unpleasant or punishing consequence?
8. Has the employee been given regular short-term feedback about job performance so that the employee knows what he or she is doing?
9. Has the employee had a counseling meeting and appropriate follow-up?

Only after these approaches have failed does the supervisor proceed with disciplinary action.

CHECKLIST FOR DEALING WITH DISCIPLINE

The following are rules to follow when handling a disciplinary problem:

1. Prevent it! Sense problems before they erupt.
2. Keep accurate and complete records.
3. Be prepared with facts and figures.
4. Hear the employee out with empathy.
5. Precede formal discipline with a warning.
6. Don't drag it out! Administer discipline quickly.
7. Punish the behavior, not the person.
8. Do it in private.
9. Set goals for future performance.
10. Set a follow-up date.

STEPS IN THE DISCIPLINARY PROCESS

The following steps should be used by supervisors in correcting unsatisfactory performance. The supervisor shall review with the Director of Human Resources, or the Assistant Director, Employment, Training and Development, the nature of the problem to determine the appropriate sequence of disciplinary steps. Adherence to following each step of the disciplinary process in the sequence given will be determined by the nature and gravity of the problem.

All formal disciplinary actions must be reviewed with the Human Resource Department prior to action being taken, and under no circumstances will employees be terminated without the knowledge of the Human Resource Department.

1. *Fact-finding or counseling:* This is the first step in correcting unsatisfactory performance. Supervisors may wish to follow up the counseling session with written documentation sent to the Human Resource Department. This is not filed in the employee's personnel file.

2. *Formal written warning:* Following a documented meeting between the employee and the supervisor, the supervisor shall review and develop the facts and, if the facts warrant, shall inform the employee that the employee is failing to meet acceptable standards of performance and/or is not following College rules and regulations. More severe disciplinary measures will result if such standards are not met or rules continue to be violated. This documentation must be reviewed with the Human Resource Department prior to meeting with the employee.

The written warning shall include the following:

A. The extent of the problem

B. The name of the violated rule, policy, or procedure

C. Suggested courses of action

D. A statement of consequences in the absence of improvement

E. Any follow-up action to be taken

The employee may be placed on probation for a period of time to monitor more closely corrective action and improvements being gained. Typical probationary periods are for 30, 60, or 90 days. Supervisors who place employees in a probationary status must meet with them during and at the end of the probationary period to discuss their success or failure in achieving increased performance or resolving problems.

3. *Suspension:* An employee may be required to remain off the job in a nonpay status for a specified period of time for disciplinary purposes, following oral or written warnings and without warning for more serious initial offenses. Immediate suspension may be ordered when circumstances make attendance at work dangerous to the employee or others, when an investigation is needed, or when circumstances seriously impair the employee's effectiveness on the job. The Human Resource Department must be contacted prior to action being taken. If circumstances require an immediate suspension, it may be verbally issued but written notice must follow as soon as possible.

4. *Decision-Making Leave and Positive Discipline:* The following positive disciplinary model may be substituted for the suspension/probation model described above.

Purpose: If after both counseling and written warnings, the employee's performance fails to improve a supervisor may make use of a one day decision-making leave as a third step in the discipline process. The purpose is to provide an employee with a specific time period to decide if he or she wants to continue employment, and if so, to make the required behavior change. Again, the emphasis is on correcting the performance problem. This is an extremely serious step, in so far as the employee will be terminated if he or she does not change behavior or performance.

Method: Following a review of prior disciplinary steps, the supervisor meets with the employee to explain that the employee must now decide whether or not he or she wishes or is able to work for the College and that he or she will be given one day off with pay to spend at home deciding whether to continue to work or to quit. During the meeting, the supervisor will indicate hope that the employee will decide to continue working, but that another occurrence of trouble will lead to termination. The meeting needs to end with an agreement between supervisor and employee that they will meet at the beginning of the workday following the decision-making day and that the employee will give his or her written decision at that time.

In order for this model to be effective, the supervisor must closely monitor the employee's performance following a decision to remain at work so that any further discipline problems can be dealt with on a timely basis.

5. *Discharge:* This is not a step in the positive discipline procedure. It is one taken when positive measures have been used, but performance has not changed, or when an employee has committed a major offense.

EXAMPLES OF EMPLOYEE PERFORMANCE PROBLEMS

The following are examples of the kinds of behavior that would call for disciplinary action; it is not meant to represent a comprehensive list:

1. Refusing to accept a job assignment, insubordination, or willful disobedience in carrying out reasonable requests from supervisor.

2. Falsifying college records or documents, including time sheets, applications, and accounting records.

3. Insufficiency or negligence; that is, failing to do the amount and quality of work expected or failing to exercise proper caution in accomplishing tasks or caring for College materials, equipment, etc.

4. Repeated tardiness or absenteeism.

5. Stealing from the College, other employees, or students.

6. Failure to comply with College policies, including alcohol and drug abuse policies, EEOC/Affirmative Action policies, or other policies communicated to employees.

7. Failure to observe proper safety techniques, use personal protective equipment as prescribed by supervisors, or work in a hazardous, risk-taking manner.

8. Carrying or bringing to campus weapons, implements that look like weapons, or devices that may be used as weapons.

Each case of unsatisfactory behavior will be evaluated on its own set of circumstances.

GENERAL

Any questions concerning this procedure should be addressed to the Assistant Director, Employment, Training and Development. All written disciplinary actions shall be forwarded to Human Resources for inclusion in the employee's personnel file.

In utilizing this progressive disciplinary approach, the employee should be made aware that the disciplinary action is a form of education that is consistent and fair for the circumstances involved. Employees may, with their supervisor's knowledge, discuss the nature of the disciplinary action with the next level of supervision or the Human Resource Department.

If it is suspected that an employee is encountering performance problems or violating work rules because of outside, nonjob-related situations, such as poor health, family problems, alcoholism, or emotional disturbances, the supervisor is encouraged to refer the worker to the Employee Assistance Program to obtain professional help.

If employees feel that the discipline has violated College policy. he or she can file a grievance under the grievance procedure.

Samples of progressive disciplinary letters to employees are attached.

Attachment 1: Sample of Written Warning

TO:

DATE:

DEPARTMENT:

JOB TITLE:

RE: Corrective Disciplinary Action—Written Warning

You are being given this written warning because your attendance does not meet established College standards. Your attendance record shows that during the last five months you were absent from work on five occasions—three in excess of one hour and two less than one hour, for a total of 24 hours and 45 minutes of absence.

As I pointed out to you after your return following each of these absences, your failure to report to work regularly and to appear on time prevents the College from maintaining the necessary number of operating employees in your department, interferes with the scheduling of work, and in some instances, places an added burden upon other employees in your department.

This situation is very serious and deserves immediate correction. Unless you report regularly for work and on time, or if you fail to observe other company policies, more severe disciplinary action may result, including suspension or termination.

Issued by:

Supervisor's Signature: _____

Employee's Signature: _____

Distribution: Employee, Supervisor, Manager of Employment Services

Attachment 2: Sample of Suspension

TO:

DATE:

DEPARTMENT:

JOB TITLE:

RE: Corrective Disciplinary Action—Suspension

You have not corrected your poor attendance after a warning on November 25, 19-- and a written warning on December 20, 19--. Prior to these warnings, you were counseled on two occasions concerning your attendance not meeting proper and established College standards. On January 7 and 8, 19--, you were absent again for 15 hours. Since July 6, 19--, you have been absent 64 hours and 28 minutes on eight separate occasions. As a result of not correcting your attendance problem, you are being suspended from your job without pay for a period of three days, effective January 9, 19--, through January 11, 19--.

I regret that this measure has been made necessary, and it is my hope that no further disciplinary action will be called for. If, upon your return to work on January 12, 19--, you do not report regularly for work and on time, or if you fail to observe other College policies, more severe disciplinary action may result, up to and including discharge.

Issued by:

Supervisor's Signature: _____

Employee's Signature: _____

Distribution: Employee, Supervisor, Manager of Employment Services

Attachment 3: Sample of Termination Memo

TO:

DATE:

DEPARTMENT:

JOB TITLE:

RE: Corrective Disciplinary Action—Termination

Since July 6, 19--, you have been absent 80 hours and 51 minutes on 11 separate occasions, the last of which was for 23 minutes on March 16, 19--. These combined factors indicate little or no respect for your job. Because of your failure to attend work regularly and meet your job responsibilities, you are hereby notified that you are discharged from your job. In hopes of correcting your failure to meet the College's attendance standards over the last nine months, you were disciplined as follows:

November 25, 19--:	Verbal Warning
December 20, 19--:	Written Warning
January 9, 19--:	Three-Day Suspension
February 12, 19--:	Two-Week Suspension

Issued by:

Supervisor's Signature: _____

Distribution: Employee, Supervisor, Manager of Employment Services

Drug- and Alcohol-Free Workplace (1)

PHILOSOPHY

The College subscribes to and endorses an alcohol and drug policy founded on the principle of freedom with responsibility. The College is dedicated not only to learning and the advancement of knowledge, but also to the development of ethically sensitive and responsible people. The institution will strive to provide an educational environment conducive to making conscientious and healthy decisions when individuals are faced with difficult choices associated with the use of legal and illegal drugs.

Members of the College community are individually responsible for being aware of applicable laws, regulations, ordinances, and institutional policy and for complying with them. The College will assist in that endeavor by providing current information on an ongoing basis to the campus community. In addition, members of the College community are encouraged to participate in educational programs offered throughout the year and to take measures that prevent the misuse and abuse of alcohol and drugs among students and colleagues.

INTENT OF POLICY

The policy is intended to—

- provide a comprehensive institutional response to substance abuse,
- ensure proactive prevention education and promote responsible use of alcohol, and
- improve the cooperative arrangement between the College, the local community, and regional collegiate institutions in addressing the issue of substance abuse.

DRUGS

Possession, manufacture, distribution, illegal use, and sale of drugs or narcotics, except those taken under a doctor's prescription, are prohibited on College-owned or controlled property, including on- and off-campus housing, or at any College-sponsored or supervised function. This issue arises from the institution's legal responsibility to the state and federal governments.

ALCOHOL

State Guidelines

State law states that it is illegal to sell, serve, or furnish beer, wine, or other alcoholic or intoxicating liquor to a person under 21 years of age. It is also illegal for any person under 21 years of age to purchase or attempt to purchase, possess, or consume any alcoholic or intoxicating liquor.

The State Board of Education states that "[a]lcoholic beverages may not be possessed or consumed under any circumstances in areas open to, and most commonly used by, the general public. These areas include, but are not limited to, lounges, student union buildings, recreation rooms, conference rooms, athletic facilities, and other areas of college-owned buildings and grounds." Guests or visitors must observe this rule while on campus or on other College property. Noncompliance may subject a person to sanctions imposed by the College, as well as provisions of local and state laws.

The President's house is considered a private residence and the State Board of Education excludes it from the above policy. The Center for the Arts is owned by the Arts Foundation and is not College property.

Off-Campus Consumption

The College believes that use of alcohol is an individual choice. It supports abstinence or responsible use of alcohol as choices. Responsible use of alcohol includes use of alcohol by individuals over age 21. Responsible use also includes recognizing that certain situations require mental alertness and physical dexterity and the use of alcohol would interfere with those abilities.

Any sponsor of an off-campus, school-related activity will recognize its responsibility to adhere to the state and federal laws and the State Board of Education guidelines. The sponsor's responsibility includes disclosing the guidelines included in this policy to participants in the activity.

For off-campus, College-sponsored events that are open to the campus community and at which alcohol will be present, the sponsor will work with the Vice President of Student Development or the appropriate academic or vocational dean to assure adherence to this policy. The following information will need to be provided to assure adherence:

1. Names and ages of individuals designated as bartenders or servers to check identification
2. Means to inform participants of applicable state and federal laws regarding alcohol consumption
3. Nonalcoholic beverages and food provided
4. Designated driver program

No off-campus social event shall include any form of drinking contest in its activities or promotions.

Disciplinary Action

Individuals who fail to abide by the provisions of this policy will be referred to either the Vice President of Student Development, if students, or to their immediate supervisors, if faculty and staff, for disciplinary action.

Clubs or organizations which fail to abide by College policies governing the use of illegal drugs and alcoholic beverages shall be subject to disciplinary action by the Vice President of Student Development.

Prevention

The College will implement a comprehensive drug education program under the cosponsorship of the Personnel Office and Student Life Office.

A drug and alcohol education committee will be established by the President as a subcommittee of the Contemporary Social Problems Committee. The subcommittee, in conjunction with Student Life and the Office

of Personnel, will periodically survey the College community regarding the use of and attitudes about drugs and alcohol and their abuse. The subcommittee will annually review the drug/alcohol policy, evaluate the quality of educational programming, and advise the President on policies and procedures necessary to meet the intent of this policy. Standing members will include staff from Personnel, Housing, and Student Life.

Local and regional cooperation from the community will be solicited whenever possible. Members of the community will be welcome to attend any all-campus programming events.

Intervention

Intervention guidelines will be developed by the Office of Student Life for assisting students with problems related to drug and alcohol usage. Faculty and staff members with problems due to drug and alcohol usage will be referred to the Employee Assistance Program.

Advertising

As an educational institution with large numbers of students who are under age 21, the College prohibits advertising of alcoholic beverages in campus publications and facilities.

Consumption of Alcohol in the Residence Hall

The Residence Hall Handbook defines the limitations of alcohol consumption in the residence halls. The handbook must be in compliance with this document.

When residence halls sponsor hall activities in which there will be nonresident guests and alcohol will be served, they must comply with this policy.

Noncampus Organizations

Noncampus organizations using College facilities will be required to comply to the same rules as any College organization. If these rules are broken, the organization will not be allowed further use of campus facilities and may be subject to provisions of local and state laws.

DRUG-FREE WORKPLACE

Introduction

The Drug-Free Workplace Act of 1988 (Pub. L. No. 100-690, 5151-5160) requires applicants for federally funded grants and contracts to certify that they will institute affirmative steps to prohibit the unlawful manufacture, distribution, possession, and use of controlled substances in the workplace. Controlled substances can be identified as narcotics, depressants, stimulants, and other drugs having abuse potential. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment.

A copy of this policy statement will be sent to each employee. Employees will be requested to verify receipt of the policy by returning a signed statement to the Personnel Office. In the future, this policy statement shall be provided to all new employees as part of the orientation process provided by the Personnel Office. This policy statement will be printed in the campus newsletter and posted in conspicuous locations throughout the campus and at branch locations.

Policy Statement

The College is dedicated not only to learning and the advancement of knowledge, but also to the development of ethically sensitive and responsible people. The institution strives to maintain an educational environment free of illegal drugs.

The unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited on college-owned or controlled property. This policy applies equally to administrators, faculty, staff, and students.

As a condition of employment for employees funded by grants, the employee will—

- abide by the terms of this statement and
- notify his or her immediate supervisor of any criminal drug-statute conviction for a violation occurring in the workplace no later than five days after that conviction.

Any employee of the College convicted of violating drug-free workplace requirements is subject to disciplinary action that may include, but is not limited to, warnings, reprimands, suspension, expulsion, demotion, or dismissal.

Employee Sanctions

Any employee of the College so convicted is subject to disciplinary action as indicated above. Any employee of the College convicted of a drug offense in the workplace may be required to participate in a drug rehabilitation or treatment program as a condition of continuing employment.

Within 30 days of receiving notice that an employee has been convicted of violating this institution's drug-free workplace policy, the appropriate vice president or designee will take appropriate personnel action against such an employee.

Notification of Funding Agency

The appropriate vice president or designee will notify the federal funding agency within 10 days after receiving notice of an employee's conviction.

Institution Sanctions

The federal government may levy sanctions against the institution if the funding agency determines that the institution (grantee) has violated the Drug-Free Workplace Act by—

1. filing a false certification,
2. failing to carry out any obligation specified in the certification as specified in this policy, or
3. having such a high employee rate of criminal drug convictions occurring in the workplace as to indicate that the institution has failed to make a good-faith effort to provide a drug-free workplace.

The institution shall be subject to one or more of the following actions:

1. Termination of the grant or contract by the federal agency
2. Suspension of payments under the grant or contract
3. Suspension, including a temporary, emergency form of debarment, the administrative equivalent of a preliminary injunction
4. Debarment

Upon issuance of any final decision requiring debarment of the institution, the institution shall be ineligible for award of any grant from any federal agency for a period specified in the decision, not to exceed five years.

Sanctions are imposed, in writing, by the head of the federal funding agency (or designee) and may be appealed through standard agency suspension and debarment proceedings. The agency head may waive the sanction under appropriate circumstances.

Drug-Free Awareness Program

The institution's Drug and Alcohol Education Committee shall be responsible for establishing a drug-free awareness program to inform employees about the following:

1. The dangers of drug abuse in the workplace
2. The institution's policy of maintaining a drug-free workplace
3. The availability of drug counseling and rehabilitation programs
4. Penalties that may be imposed upon employees for drug-abuse violations occurring in the workplace

To ensure good-faith efforts to maintain a drug-free workplace, the Drug and Alcohol Education Committee shall annually review and evaluate policies and educational programming and advise the President of any changes needed to satisfy this goal.

Drug- and Alcohol-Free Workplace (2)

The University recognizes its responsibility to provide a healthy environment within which faculty and staff may work in a drug- and alcohol-free workplace. If an employee is found in violation of University or State alcohol and drug-abuse policies, the circumstances accompanying each individual case are considered when determining the consequences. Educational interventions are emphasized; however, when indicated, counseling or other therapeutic activities may be required.

Based on its commitment to assure the safety and health of its employees, the University seeks to maintain work and learning environments free of the unlawful manufacture, distribution, possession, or use of controlled substances or the abuse of alcohol. Drug and alcohol abuse affects the responsible conduct of business, teaching, and learning; therefore, it will not be tolerated.

POLICY OBJECTIVES

This policy is based on the following objectives:

1. To maintain a safe and healthy environment for all students and employees
2. To maintain the good reputation of the University and its employees with the community
3. To minimize accidental injuries to individuals or property
4. To keep absenteeism and tardiness at a minimum and to improve the effective performance of job duties and productivity of all employees
5. In appropriate circumstances, to assist employees in securing alcohol or substance abuse rehabilitation
6. To comply with the federal Drug-Free Workplace Act of 1988, theDrug-Free Schools and Communities Act Amendments of 1989, and other applicable legislation
7. To adopt and implement a program to prevent use of illicit drugs and abuse of alcohol by employees

DEFINITIONS

As used in this policy, the following definitions apply:

1. Drugs or other controlled substances mean any substance, including alcohol, capable of altering an individual's mood, perception, pain level, or judgment.
2. A prescribed drug is any substance prescribed for individual consumption by a licensed medical practitioner. It includes prescribed drugs and over-the-counter drugs that have been legally obtained and are being used for the purpose for which they were prescribed or manufactured.
3. An illicit drug or chemical substance is (A) any drug or chemical substance for which use, sale, or possession is illegal under any state or federal law or (B) one which is legally obtainable but has not been legally obtained. The term includes prescribed drugs not legally obtained and prescribed drugs not being used for prescribed purposes.
4. The term controlled substance means a controlled substance in schedules I through V of section 202 of the Controlled Substance Act (21 U.S.C.S. 812) or whose possession, sale, or delivery results in criminal sanctions under the State Controlled Substances Act. In general, this includes all prescription drugs, as well as those substances for which there is no generally accepted medicinal use (e.g., heroin, LSD, marijuana, etc.) and substances that possess a chemical structure similar to that of a controlled substance (e.g., "designer drugs"). The term does not include alcohol.
5. Alcohol means alcohol, or any beverage containing more than one–half of 1 percent of alcohol by volume, which is capable of use for beverage purposes, either alone or when diluted.
6. Alcohol abuse means the excessive use of alcohol in a manner that interferes, but not chronically with (A) physical or psychological functioning, (B) social adaptation, or (C) occupational functioning.
7. The term conviction means a finding of guilt (including a plea of nolo contendere) and/or imposition of sentence by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes.

8. Cause for reasonable suspicion shall be established by (A) observation, (B) actions or behaviors of the individual, (C) witness by supervisor or other reliable individual of possession or use, or (D) any other legal measure used for alcohol or drug detection.

9. The term criminal drug statute means a criminal statute involving manufacture, distribution, dispensation, use, or possession of any controlled substance.

10. Sanctions may include completion of an appropriate rehabilitation or assistance program, termination from employment, other disciplinary action, or referral to authorities for prosecution. If an employee has been convicted of a criminal drug statute, sanctions must be imposed within 30 days.

11. Workplace means any office, building, classroom, or property (including parking lots) owned or operated by the University or any other site at which the employee is to perform work.

12. An employee of the University is any faculty, staff, or student receiving remuneration for services rendered.

13. Possess means to be contained either on an employee's person or in an employee's vehicle, tools, or areas entrusted to the employee.

14. Impaired means under the influence of an illegal drug or alcohol such that the employee is unable to perform his or her assigned tasks properly.

STANDARDS OF CONDUCT

The following are standards of conduct for the University:

1. The unlawful manufacture, distribution, possession, or use of illicit drugs or alcohol is strictly prohibited.

2. Sanctions will be imposed on employees (consistent with local, state, and federal laws) up to and including termination of employment and referral for prosecution for violation of the standards of conduct set forth above.

3. The University shall conduct a biennial review of its drug- and alcohol-abuse prevention program. It shall determine and put in report format (A) the effectiveness of the program and (B) the consistency of the enforcement of sanctions imposed pursuant to the program. It shall also evaluate whether any changes are needed and shall implement any such changes.

4. The University shall have available for review by the Secretary of Education, or his or her designee, other applicable governmental agencies and the general public, if requested, copies of all documents distributed to employees under the drug- and alcohol-abuse prevention program and also copies of the biennial review.

ALCOHOL- AND DRUG-FREE AWARENESS PROGRAM

The University will establish or participate in an alcohol- and drug-free awareness program to inform employees about (1) the dangers of alcohol and drug abuse, (2) the University policy of maintaining a workplace and learning environment free from drug and alcohol abuse, (3) any available alcohol and drug counseling, rehabilitation, and employee assistance programs, and (4) the penalties that may be imposed upon employees for alcohol- and drug-abuse violations.

HANDLING ABUSE SITUATIONS

If a supervisor reasonably suspects that use of a controlled substance or alcohol has affected an employee's job performance, the supervisor shall immediately notify the appropriate department head or other designated administrative official, and upon direction, the supervisor or other designated administrative official shall discuss with the employee the suspected alcohol- or drug-related problem. The employee should be advised of any available alcohol and drug counseling, rehabilitation, or employee assistance programs, and the terms of any applicable disciplinary sanctions. All such meetings between the employee and the supervisor or other designated administrative official to address the suspected alcohol- or drug-related problem, or its resolution, shall be documented in a memorandum to the record.

Should such discussion or participation in any available alcohol or drug counseling, rehabilitation, or employee assistance program fail to resolve the suspected alcohol- or drug-related problem, or should the employee fail to meet the terms of any applicable disciplinary sanctions, the employee may be subject to disciplinary action up to and including termination.

ASSISTANCE FOR EMPLOYEES

The Department of Counseling and Career Services will provide referrals to substance-abuse treatment clinics, drug-abuse counselors, and private community organizations involved in rehabilitation programs for alcohol and drug impairment. Literature and other relevant information on alcohol and drug abuse may be obtained at University Health Services.

OTHER REGULATIONS

A copy of the University's drug- and alcohol-abuse policy shall be provided to employees on or before their first day of employment, along with a signed acknowledgment of receipt of the policy. The signed acknowledgment will be kept in the employee's file.

Any employee whose off-duty use of alcohol, drugs, or other controlled substance results in absenteeism, tardiness, impairment of work performance, or is the cause of workplace accidents, will be reported to the immediate supervisor and the Office of University Personnel Services. Referrals to drug-abuse counselors will be provided by the Office of Counseling and Career Services.

Any disciplinary action shall be governed by University policies on discipline and dismissal. A record of the action will be placed in the employee's personnel file.

As a condition of employment, employees on government grants or contracts must abide by the required notification statement and must report any criminal drug-statute conviction for a violation occurring in the workplace no later than five days after such conviction. The employer, in turn, must so notify the contracting federal agency within 10 days after receiving notice from an employee or otherwise receiving actual notice of such conviction and within 30 days must impose sanctions on the employee involved. Such sanctions may take the form of personnel actions against such an employee, up to and including termination, or requiring the employee to satisfactorily participate in an approved drug-abuse assistance or rehabilitation program.

HEALTH RISKS OF ALCOHOL, DRUGS, AND CHEMICALS

Alcohol

Health hazards associated with the excessive use of alcohol or with alcohol dependency include dramatic behavioral changes, retardation of motor skills, and impairment of reasoning and rational thinking. These factors result in a higher incidence of injury and accidental death for such persons than for nonusers of alcohol. Nutrition also suffers, and vitamin and mineral deficiencies are frequent. Prolonged alcohol abuse causes bleeding from the intestinal tract, damage to nerves and the brain, psychotic behavior, loss of memory and coordination, damage to the liver (often resulting in cirrhosis), impotence, severe inflammation of the pancreas, and damage to the bone marrow, heart, testes, ovaries, and muscles. Cancer is the second leading cause of death in alcoholics and is 10 times more frequent than in nonalcoholics. Sudden abstinence from alcohol by persons dependent on it may cause serious physical withdrawal symptoms.

Drugs and Chemicals

The use of illicit drugs and chemicals may cause the same general type of physiological and mental changes seen with alcohol, though frequently those changes are more severe and more sudden. Death or coma resulting from overdose of drugs and chemicals is more frequent than from alcohol, but unlike alcohol, abstinence can lead to reversal of most physical problems associated with drug use. There are also health risks resulting from intravenous drug use. In addition to the adverse effects associated with the use of a specific drug, intravenous drug users who use unsterilized needles or who share needles with other drug users can develop AIDS, hepatitis, tetanus (lockjaw), and infections in the heart. Permanent brain damage may also result. Chemicals, which include solvent inhalants and aromatic hydrocarbons, such as glue, lacquers, and plastic cement also present health risks. Fumes from these substances cause symptoms similar to those of alcohol. Hallucinations and permanent brain damage may occur.

The attached tables, which were based on data from the Federal Register, provide a summary of illicit drugs and their effects.

Controlled Substances Health Risks

Drugs	Trade or Other Names	Dependence		Possible Effects	Effects of Overdose	Withdrawal Syndrome
		Physical	Psychological			
Narcotics						
Opium	Dover's Powder, Paregoric, Parepectolin	High	High	Euphoria, drowsiness, respiratory depression, constricted pupils, nausea	Slow and shallow breathing, clammy skin, convulsions, coma, possible death	Watery eyes, runny nose, yawing, loss of appetite, irritability, tremors, panic, cramps, nausea, chills and sweating
Morphine	Morphine, MS-Contin, Roxanol, Roxanol-SR	High	High			
Codeine	Tylenol w/Codeine, Empirin w/Codeine, Robitussin A-C, Fiorinal w/Codeine	Moderate	Moderate			
Heroin	Diacetylmorphine, Horse, Smack	High	High			
Hydromorphine	Dilaudid	High	High			
Meperidine (Pethidine)	Demerol, Mepergan	High	High			
Methadone	Dolophine, Methadone, Methadose	High	High-Low			
Other Narcotics	Numorphan, Percodan, Percocet, Tylox, Tussionex, Fetanyl, Darvon, Lomotil, Talwin	High-Low	High-Low			
Depressants						
Chloral Hydrate	Noctec	Moderate	Moderate	Slurred speech, disorientation, drunken behavior without odor of alcohol	Shallow respiration, clammy skin, dilated pupils, weak and rapid pulse, coma, possible death	Anxiety, insomnia, tremors, delirium, convulsions, possible death
Barbiturates	Amytal, Butisol, Fiorinal, Lotusate, Nembutal, Seconal, Tuinal, Phenobarbital	High-Moderate	High-Moderate			
Benzodiazepines	Ativan, Dalmane, Diazepam, Librium, Xanax, Serax, Valium, Tranxene, Vestran, Versed, Halcion, Paxipam, Restoril	Low	Low			
Methaqualone	Quaalude	High	High			
Glutethimide	Doriden	High	Moderate			
Other Depressants	Equanil, Miltown, Noludar, Placidyl, Valmid	Moderate	Moderate			
Stimulants						
Cocaine	Coke, Flake, Snow, Crack	Possible	High	Increased alertness, excitation, euphoria, increased pulse rate and blood pressure, insomnia, loss of appetite	Agitation, increase in body temperature, hallucinations, convulsions, possible death	Apathy, long periods of sleep, irritability, depression, disorientation
Amphetamines	Biphetamine, Delcobese, Desoxyn, Dexedrine, Obetrol	Possible	High			
Phenmetrazine	Preludin	Possible	High			
Methyphynidate	Ritalin	Possible	Moderate			
Other Stimulants	Adipex, Cylert, Didrex, Ionamin, Melfiat, Plegine, Sanorex, Tenuate, Tepanil, Prelu-2	Possible	High			
Hallucinogens						
LSD	Acid, Microdot	None	Unknown	Illusionsand hallucinations, poor perception of time and distance	Longer, more intense "trip" episodes, psychosis, possible death	Withdrawl syndrome not reported
Mescaline and Peyote	Mexc, Buttons, Cactus	None	Unknown			
Amphetamine Variants	2.5-DMA, PMA, STP, MDA, MDMA, TMA, DOM, DOB	Unknown	Unknown			
Phencyclidine	PCP, Angel Dust, Hog	Unknown	High			
Phencyclidine Analogues	PCE, PCPy, TCP	Unknown	High			
Other Hallucinogens	Bufotenine, Ibogaine, DMT, DET, Psilocybin, Psilocyn	None	Unknown			
Cannabis						
Marijuana	Pot, Acapulco Gold, Grass, Reefer, Sinsemilla, Thai Sticks	Unknown	Moderate	Euphoria, relaxed inhibitions, increased appetite, disoriented behavior	Fatigue, paranoia, possible psychosis	Insomnia, hyperactivity, and decreased appetite occasionally reported
Tetrahydrocannabinol	THC, Marinol	Unknown	Moderate			
Hashish	Hash	Unknown	Moderate			
Hashish Oil	Hash Oil	Unknown	Moderate			

BEST COPY AVAILABLE

Education and Training

A full-time classified staff employee may request permission to enroll in University courses upon commencement of employment. This benefit is not available to part-time or temporary classified staff employees. A request to enroll in University courses form must be completed by the employee and approved by the departmental director/chair and the appropriate academic dean. Four copies of this form should then be forwarded to the Office of University Personnel Services for final approval and processing. Upon presentation of this approved form at registration, the tuition fees are waived for career full-time classified staff taking no more than one course or three credit hours per semester. In addition, the following conditions will apply:

1. Course work undertaken during an employee's normal work schedule will not exceed three credit hours per academic semester.

2. Enrollment in University courses requires that—

A. time absent from work is made up through an adjusted work schedule or

B. time lost is charged to vacation leave.

3. Enrollments do not displace regular University students in a course.

4. An employee must submit an approved request to enroll in University courses form to the Office of University Personnel Services prior to registration. This form will include a listing of each course requested, purpose of each course to the employee, days and times the employee will be in classes, and how the work time will be adjusted.

5. Employees must file an application for admission with the Admissions Office and meet the student entrance requirements.

6. Class attendance will not take priority over the work to be performed except as outlined in 2 above.

When a full-time classified staff employee is requested by the departmental supervisor to enroll in a course that is directly related to his/her assigned duties, time spent in class will be considered as part of his/her regular work schedule with supervisory approval.

The Director of the Office of University Personnel Services will initiate or assist in the development of noncredit programs of in-service training for University employees. The development of specific training programs will be a cooperative effort of the Office of University Personnel Services, faculty members, and staff employees. Classified staff will attend in-service training programs after obtaining approval from the departmental supervisor. Assignment to these training sessions will be made by the Director of the Office of University Personnel Services after considering class size, time and place of meeting, and the benefits to be derived by the University having that employee receive such training.

1. In-service training courses may be offered during regular working hours, outside of working hours, or a combination of both, depending upon the nature and purpose of the course.

2. The time spent by a classified staff employee in training programs will be considered as part of the regular work schedule. Equivalent time off will be granted to the employee during the same work week if the training opportunity is outside of regular work hours.

Although satisfactory completion of course work or in-service training may result in qualification for a higher classification or promotion, such actions are not automatic. Reclassification or promotion must conform to the University policies governing such actions.

Full-time classified employees receive tuition remission for dependents based on the following requirements:

1. After completing two years of service, employees' spouses receive a 50 percent reduction on one course per semester for both undergraduate and graduate courses. Tuition remission for graduate work is considered as taxable income.

2. After completion of four years of service, employees' spouses receive 100 percent tuition reduction for one undergraduate course per semester. Tuition remission for employees' spouses is contingent upon their pursuit of a degree from the University.

3. Full-time classified employees are entitled to a 50 percent reduction in undergraduate tuition for their dependent children after two years of service. After completing four years of service, full-time classified employees' dependent children receive 100 percent reduction in undergraduate tuition. Eligibility for tuition remission is contingent upon the pursuit of a degree from the University.

4. Classified full-time employees may become eligible for undergraduate tuition exchange for dependent children after completion of four years of service.

Part-time employees who later transfer or are promoted to full-time positions must satisfy full-time service requirements as stipulated in the policy for dependent tuition remission.

An employee who submits a resignation or is terminated while utilizing tuition remission (self or dependents) must withdraw from the course(s) or remit tuition payment.

Educator's Legal Liability Insurance

This policy covers the college as an institution and each individual employee. The coverage limit is $2,000,000 for each claim and annual aggregate, with a $1,000 deductible. Insured losses include defense costs as well as any judgment the employee or college might be legally obligated to pay. Not covered are fines, other penalties, or taxes.

All employees are covered for wrongful acts. Wrongful act means any actual or alleged error, omission, act, misstatement, or breach of duty in the discharge of duties to or on behalf of an insured entity. The insured entity is the College. Multiple claims arising from a single wrongful act are treated as one for purposes of the $2,000,000 limit.

The College pays extra for an endorsement that specifically includes the more likely allegations facing College employees at the present time. They are as follows:

1. Discrimination against any person or any violations of a person's civil rights

2. Sexual harassment

3. Wrongful employment practices, including discrimination in the terms and conditions of employment, failure to hire or promote, failure to grant tenure or the wrongful termination of tenure, wrongful termination of employment, or breach of the employment contract4. Educational malpractice or failure to educate

5. Infringement of copyright, trademark, or patent

6. Plagiarism or idea misappropriation

7. Oral or written publication of material that slanders or libels a person or organization or violates the right to privacy or disparages a person's or organization's goods, products, services, character, or reputation

8. False arrest, wrongful detention, or malicious prosecution; wrongful entry into, or eviction of a person from, a room, dwelling, or premises a person occupies

9. Any misstatement, misleading statement, or libel, slander, or other defamation in any book, newspaper, or other publication of the "educational entity," or broadcast over any radio, cable, or television station owned and/or operated by the "educational entity"

10. Failure to grant due process

The policy does contain exclusions, too, as all policies do. It does not cover any type of criminal activity proven or admitted (not just accusations) or knowing violation of laws and regulations. It also excludes physical injury or destruction.

The College and each individual employee are covered for physical injury or destruction under the general liability and umbrella liability policies. Here the coverage limit is $21,000,000 per occurrence and aggregate, with no deductible.

Equal Employment Opportunity

(see also Affirmative Action)

EQUAL EMPLOYMENT OPPORTUNITY

The University is continuing conscious, deliberate steps to assure equal employment opportunity for all faculty and staff members. Affirmative action to achieve equal employment opportunity extends throughout the employment career of the University's faculty and staff. It is the aim of the University to encourage faculty and staff members to realize their potential, to assist them to function more effectively, and to reach a level commensurate with their ability and ambition. It is the practice of the University to make additional efforts to recruit, employ, and advance members of diverse groups, as well as groups formerly underrepresented at the various levels of responsibility, who are qualified or who may become qualified through appropriate training or experience within a reasonable length of time. Included in these positive efforts are women, minorities, individuals with protected disabilities, and Vietnam-era veterans.

NONDISCRIMINATION

The University's policy prohibits discrimination or harassment in any aspect of personnel relations because of race, sex, color, national origin, age, ancestry, protected physical or mental disability, medical condition, marital status, sexual orientation, or any other characteristic protected by law. Except in situations in which it is more appropriate for the University to prefer an individual because of his or her religious creed, the University prohibits discrimination on this basis, and in all situations prohibits harassment on this basis.

Federal Family and Medical Leave Act

The Family and Medical Leave Act of 1993 (FMLA) took effect on August 5, 1993. Eligible employees with at least 12 months of service may request up to 12 weeks of unpaid leave in any 12-month period for one or more of the following reasons:

- To care for the employee's newborn child or a child placed with the employee for adoption or foster care
- To care for the employee's spouse, domestic partner, son or daughter, or parent, who has a serious health condition
- Because of a serious health condition that makes the employee unable to perform the employee's job

For purposes of this policy, a serious health condition is an illness, injury, or physical or mental condition involving in-patient care or continuing treatment by a health care provider. Requests for leave to care for other seriously ill family members or members of an employee's household will be considered on a case-by-case basis.

LENGTH OF ALLOWABLE LEAVE

FMLA leave may be approved for a maximum of 12 weeks in a 12-month period. For purposes of this policy, a "rolling" 12-month period will be used, measured backward from the date an employee uses any family leave. Leave taken prior to August 5, 1993, will not be counted in measuring an employee's 12-week leave allowance.

Spouses who are both employed by the College are allowed a combined total of 12 weeks of FMLA leave within a 12-month period for the care of a newborn or adopted child, or to care for a parent with a serious health condition. If leave is requested due to the illness of a child or of the other spouse, each spouse is allowed 12 weeks of leave.

In the case of a serious health condition of a family member, employees may request leave in continuous periods, intermittent periods, or by a reduced work schedule, to a total of 12 weeks. In cases of reduced schedules or intermittent leave, a department supervisor may transfer the employee temporarily to an alternative position to accommodate the needs of the work area. In such situations, the employee's salary rate and benefits should remain the same.

Leave to care for a newborn or a newly adopted child should normally be taken in continuous periods and must be taken within 12 months of the birth or placement of the child. Intermittent leave or reduced schedules may be arranged only if agreed to by both the department supervisor and the employee.

Requests for FMLA leave to exceed 12 weeks will be reviewed in accordance with the circumstances of the request, considerations of work coverage, and the provisions of the College's general policy on leave without pay. (See Administrative Handbook, Faculty Handbook, and College-Union agreements on leave.)

REQUESTING FMLA LEAVE

Employees are expected to provide as much advance notice of the need for leave as possible to allow for planning of coverage in the employee's department.

Applications for leave of absence are available from the Human Resources Office. (The application indicates the necessary documentation required depending upon the type of leave requested.) Faculty may obtain leave information from the Office of Faculty Records.

Certification from a qualified health care provider will be required for approval of leave to care for a seriously ill or injured family member. Copies of the U.S. Department of Labor's form for certification of physician or practitioner are available in the Human Resources Office for this purpose. Such certification should be provided before the leave begins (or in as timely a manner as possible) and should include the following:

- The date on which the illness or condition began
- The estimated duration of the condition
- A statement that the illness or condition warrants the participation of the employee to provide care
- In the case of intermittent leave, the dates and duration of treatments to be given

The College may require that a second medical opinion be obtained. This evaluation is done at the expense of the College and must be obtained from a health care provider who is not employed by the College. In the event of conflicting opinions, the supervisor may ask for a third and final provider (at the expense of the College) to offer a binding decision.

Additional certification may be requested for any extension of a leave period beyond the dates originally approved.

CONTINUATION OF BENEFITS DURING FAMILY AND MEDICAL CARE LEAVE

Health and dental plan coverage (and life insurance coverage for those eligible) continue during family and medical care leave periods.

Under IRS rules, contributions to College pension plans are not allowed during leaves without pay.

USE OF VACATION, SICK, OR PERSONAL LEAVE DURING FAMILY AND MEDICAL CARE LEAVE

The College requires that the employee substitute any accrued, unused vacation leave, personal leave, or (in the case of the employee's own serious health or maternity condition) accrued sick leave as part or all of the 12-week period.

CONDITIONS OF RETURN FROM FAMILY AND MEDICAL CARE LEAVE

At the completion of the approved leave period, an employee will be reinstated to his or her former position or a position of equivalent classification and pay within the College.

Questions relating to the provisions and eligibility requirements for FMLA leave should be directed to the Benefits Office.

Grievance Procedure or Problem-Referral Procedure (1)

A grievance is an allegation by an employee based upon specific facts that there has been a violation, misinterpretation, misapplication, discriminatory application, or unreasonable application of a University policy, procedure, rule, or regulation regarding the employee's employment conditions. A grievance gives the employee an opportunity to present his or her version of any such dispute.

Employees are assured that they have a right to file what they feel to be legitimate grievances and to follow the formal procedure through the appeal process if necessary without fear of censure or reprisal. This policy shall be applicable to all grievances based upon occurrences arising at or subsequent to the effective date of this procedure. All grievances should be brought to the attention of the Director of the Office of University Personnel Services by the appropriate supervisor.

A grievance should be brought to the immediate supervisor's attention within five working days of the action that is the subject of the grievance, or the grievance will not be considered. The subject of the grievance should be informally discussed between the employee and the supervisor in a good faith attempt to resolve the dispute. If a resolution is reached, such shall be reduced to writing and sent to the Director of the Office of University Personnel Services for approval and if approved, implemented.

If the grievance is not satisfactorily resolved by the immediate supervisor within five working days of receipt of the informal grievance, the employee may present the grievance in writing within five working days of the supervisor's response to the department chair or director for consideration and further action, or the grievance will not be considered further. The written grievance must state specifically what the grievance is; all pertinent facts; any specific policy, procedure, rule, or regulation upon which the employee relies; and a suggested remedy or solution. This written grievance will be the basis for all future discussions and appeals. A written decision by the chair or director will be mailed to the employee and to the Director of the Office of University Personnel Services within 10 working days of receipt of the formal grievance.

Complaints not satisfactorily resolved by the department chair or director may be appealed in writing to the appropriate vice president or dean for the employee's department within five working days of the date of the previous decision. If the appeal is not timely taken, the matter will not be considered further. The appeal must state why the previous decision is not acceptable. A written decision will be rendered by the vice president or dean within 30 working days of receipt of the appeal. This decision will be mailed to the employee and to the Director of the Office of University Personnel Services.

Should the grievance still remain unsettled to the employee's satisfaction, the employee may appeal the decision within five working days of the date of the previous decision to the Director of the Office of University Personnel Services. If the appeal is not timely taken, the matter will not be considered further. The director will have the matter studied by a committee composed of three full-time University employees: one selected by the vice president or dean, the second selected by the employee, and the third selected by the other two members. The committee will accumulate and study the statements of fact and render its decision to the director within 30 working days. The director will then review the committee's findings and render a decision to all parties involved within five working days.

Should this decision not resolve the grievance, either party may appeal the decision within five working days of the date of the previous decision to the President of the University. The President will review the written reports, provide a hearing to the participants, and render a decision within 30 working days. The President's decision will be final and binding to all parties.

If a grievance is resolved, there shall be no retroactive adjustment as to pay or other monetary matters prior to the date the grievance was first submitted. An employee in his or her initial orientation period, a temporary employee, or a terminated employee shall not have resort to the grievance procedure for any purpose.

The provisions in this policy manual that allow an employee, through the grievance procedure, to present his or her side of any dispute do not modify, and shall not be construed to modify in any way, the at-will employment doctrine. Nothing in this section shall be, or shall be construed as, a contract or other commitment that requires the University to have good cause or any cause for disciplinary action or for discharge of any classified employee. The University retains the final decision in any matter pertaining to disciplinary action or discharge and retains the right to terminate this grievance procedure at any step for any reason, including abuse of the grievance procedure.

Grievance Procedure or Problem-Referral Procedure (2)

This procedure has been developed to assist administrative staff members in resolving serious work-related problems. You should discuss such problems immediately with your supervisor, who is the key person for all communications involving your work. In presenting the problem to higher levels of authority within the College, you may ask the Human Resources Office for advice and assistance. You should use this procedure within a reasonable time after the problem occurs.

Step 1: The staff member discusses the problem with the immediate supervisor. In most cases, a problem can be resolved satisfactorily at this point. A staff member who is not satisfied may present the problem in writing to the supervisor. The supervisor will give a written answer within five full working days unless circumstances warrant additional investigation.

Step 2: After considering the supervisor's response, should the staff member not feel that the problem is satisfactorily resolved, or if the nature of the problem has precluded a discussion with the supervisor, the staff member may refer the problem to the next appropriate level of management. The manager or designee will meet with the staff member promptly. Except in cases requiring further inquiry, the manager will reply to the staff member in writing within two weeks of the meeting. The manager will send a copy of the reply to the Human Resources Office.

Step 3: Staff members who deem a manager's answer unsatisfactory may refer the matter to the Problem Review Committee through the Human Resources Office. This committee includes the senior staff member of the staff member's departmental area, the Director of Human Resources, and one other member appointed by the President. If the problem involves the senior staff member, the President will appoint another committee member. The Problem Review Committee consults with the staff member and all other parties involved and gives a decision within a reasonable time period. The decision of the Problem Review Committee is final and binds all parties. The committee will give the staff member a written report of the its decision and the reasons for that decision. If there are appeals, the President may review the decision.

Hiring and Recruitment (1)

NONFACULTY HIRING

Nonfaculty Appointment Checklist

The following are key procedures for all nonfaculty appointments. Use this checklist as you follow the attached procedure.

1. Complete request for nonfaculty personnel form. Send completed form to your divisional vice president for approval. The vice president will forward completed form to Human Resources. New positions require a support-staff position description.

2. Human Resources will coordinate employment advertising with hiring supervisor.

3. Contact the Human Resources Office regarding application flow; review applications; and conduct interviews with finalists in consultation with Human Resources. Maintain records of known applicants sex and ethnicity for the affirmative action compliance form.

4. When a successful candidate is identified, contact the Human Resources Office with a recommendation to hire. References will be checked at this time by either Human Resources or the hiring department. Coordinate all salary offers, in advance, with Human Resources.

5. Complete the affirmative action compliance form; sign and return to Human Resources. No offer of employment should be made without consultation with human resources.

6. If the recommendation is accepted and the affirmative action compliance form approved, the Human Resources Office will send out a formal appointment letter. Human Resources notifies all the unsuccessful candidates, advising them the position has been filled. Human Resources will forward the employment authorization form. Sign the authorization and forward to Human Resources for processing.

The following procedure should be followed for all positions, exempt and nonexempt, full- and part-time.

Before Recruitment

All directors, department heads, and deans should do the following:

1. Submit completed request for nonfaculty personnel form to divisional vice president for approval. Vice president will forward to Human Resources.

2. Review the job description on file in Human Resources for completeness, making changes where appropriate. For all new positions, please complete a support-staff position description form and submit to Human Resources. Human Resources can provide assistance in the development of a job description.

3. Collaborate with Human Resources in the development of employment advertising. Consultation with Human Resources is advisable to determine the extent of recruitment (regional or national search) or whether a search committee is recommended. A search committee may be formed at the discretion of the department head.

4. Human Resources includes the following statement in all job announcements and advertisements: "The University is an Affirmative Action/Equal Opportunity Employer." In accordance with our affirmative action plan, "Minorities and women are encouraged to apply" will appear in ads if the position is underutilized.

Recruitment

The University's affirmative action policy requires that every effort be made to ensure that all applicants receive fair consideration for employment. In addition, it provides that every effort be made to recruit in such a manner that all persons will have an equal opportunity to be considered and appointed, regardless of race, sex, age, color, national origin, religion, handicap, veteran's status, or sexual orientation. To meet these requirements, the following methods should be used to broaden the pool of available candidates for all positions to include more minority group members and women.

Search Committee: To the maximum extent feasible, women and minorities should be included on search committees.

Selection Criteria: Substantive criteria (job description and qualifications) for the position should be established prior to recruitment. In all cases, standards and criteria for appointments should be made reasonably explicit and should be accessible to all employees and applicants.

Selection

1. When a successful candidate has been identified, references will be checked by either Human Resources or the hiring department. The department head should collaborate and validate with Human Resources that an affirmative search was administered.

2. If references check out positively, the hiring department should forward the signed affirmative action compliance form to Human Resources for its validation that an affirmative search was conducted.

3. The affirmative action compliance form is forwarded for approval to the divisional vice president and forwarded to Human Resources. Human Resources can have an informal discussion of appointment terms with the candidate. Formal appointment letters will be sent by Human Resources to the successful applicant.

4. Human Resources will notify all unsuccessful candidates that the position has been filled.

Hiring and Recruitment (2)

The College recruits on the basis of qualifications for a specific job without regard to race, color, religion, marital status, national origin, sex, age, or the presence of any disability except where such is a bona fide occupational qualification.

To ensure compliance with the institution's affirmative action program, specific procedures are provided in the affirmative action plan available in the Personnel Office.

All classified staff will be hired through the Personnel Office according to the consolidated statutes of the State Personnel Commission. The State Personnel Commission is authorized and directed to administer the personnel system for classified staff.

Applicant-flow data will be maintained by the Personnel and Affirmative Action offices.

The following are general procedures to be used in recruiting and hiring faculty, exempt, and executive personnel who are to be offered employment.

VACANCY LISTING AND JOB DESCRIPTION

The employing unit shall specify in writing the nature of the vacancy, explicitly listing the qualifications for candidacy, the position title and rank, and including a timetable for developing the applicant pool. The statement must be submitted to the appropriate hiring official and the Affirmative Action Office for approval prior to the commencement of advertising the position.

ANNOUNCEMENT

The job announcement shall include the closing dates for applications, the projected starting date, and the name and address of the person(s) to contact.

The standard job announcement should include the following:

1. Starting date
2. Closing date for applications
3. Salary and rank
4. Minimum qualifications
5. Job responsibilities
6. General college information
7. Procedures for applicants to follow

Job announcements shall be sent to appropriate professional organizations, universities, and colleges.

In addition to openly advertising a vacancy, the employing unit shall engage in recruitment aimed specifically at generating applications from qualified minorities, women, disabled individuals, and Vietnam-era veterans. The Affirmative Action Officer shall determine whether vacancy announcements will be distributed either nationally, regionally, or locally. Consideration will be given to the requirements of the position and the distribution and availability of qualified minorities and women.

All job announcements will be placed in the faculty/staff newsletter and/or posted internally. The College will attempt to fill open positions from within.

JOB DESCRIPTION

Develop a thorough job description by conducting an analysis to identify actual tasks performed, their frequency, and the importance of specific employee traits or skills needed. Job descriptions and hiring standards should reflect major job functions. The faculty and/or staff will have involvement in this process.

Criteria for evaluating prospective faculty or staff are inferred from the job description for the position. Developing a thorough job description is the essential first step to conducting a successful search since it can guide interview questioning and become the final rating instrument.

SEARCH AND ADVERTISING PREPARATIONS

Recruitment plans must be submitted to and approved by the Affirmative Action Officer following the guidelines below prior to the release of an announcement of any faculty or exempt position vacancy. These may include full-time faculty, half-time, or temporary appointments (e.g., a sabbatical replacement). Irregular-help

positions expected to evolve into regular-appointment positions should also be publicized and filled by following these guidelines:

1. Advertising must include the phrase "An AA/EEO Employer."

2. The search process shall exclude illegal discrimination against any person on the basis of race, color, national origin, religion, sex, age, disability, or veteran's status. Search plans will include seeking applicants who are minorities, women, disabled individuals, and Vietnam-era veterans when members of these groups are currently absent or scarce in the unit work force.

3. Advertising should be included in publications that reach minorities, the disabled, and women.

4. Professional position vacancies should be advertised nationwide in appropriate professional journals. Some vacancies may be advertised regionally depending on the position, the most important scheduling element for affirmative action purposes is the time period between the commencement of advertising and the closing date for applications. It is generally necessary to allow at least two months to ensure that the purposes of the program can be achieved. If a unit believes it can secure an applicant pool containing minority and/or women applicants in proportion to their availability in less than two months, it may establish a shorter recruiting schedule with the concurrence of the Affirmative Action Officer. As a general rule, permanent, full-time professional positions require a minimum of three days in local newspapers. However, if the applicant pool inadequately represents minorities and/or women, or if a qualified applicant cannot be found by the closing date, the Affirmative Action Officer may require additional affirmative action recruiting.

A search and screening committee shall be established by the dean, head of the hiring unit, or his or her designee and shall include diverse members (e.g., faculty and/or staff, women, minorities, students). Community representatives may also be included. The committee shall utilize the identified criteria for selection of candidates for formal interviews. Committees generally have five members; fewer than three members is not recommended. The search committee will be chaired by a faculty or staff member.

Resumes of those recommended for formal interviews shall be provided to faculty and staff involved in the campus visitation. Arrangements for candidates to visit campus and interview are made through the office of the dean, head of the hiring unit, or the designee.

During and following the search, assistance should be sought from the Affirmative Action Officer to assure that—

1. procedures have been followed,

2. extra effort has been extended to seek applicants who are women, minorities, disabled groups, and Vietnam-era veterans when members of those groups are currently absent or scarce in the work unit,

3. the criteria for selection is objective and related to the criteria advertised, and

4. the efforts are clearly indicated by documentation.

APPLICANT POOL

The goal of affirmative action recruitment efforts is to achieve representation within the applicant pool of minorities and women in proportion to their availability. To monitor these efforts, each applicant shall be sent an affirmative action card.

The initial step in recruiting for a position is to submit to the Affirmative Action Office a job description, job announcement, and advertising plan. The job announcement must be approved by the Affirmative Action Director prior to placement in newspapers, journals, etc. The Affirmative Action Director also will review the advertising plan to ensure that efforts are being made to encourage applications from women and minorities who are currently absent or scarce in the unit work force. The Affirmative Action Office also will send the announcement to organizations and agencies specifically targeted to women and minorities. The hiring unit will be notified by the Affirmative Action Office that it may proceed with the recruitment process.

On the day following the application deadline, all applications shall be forwarded to the Affirmative Action Office. From there, voluntary affirmative action information cards will be sent to all applicants providing them an opportunity to identify themselves as a member of a minority group. The Affirmative Action Office will

review all applications and return to the hiring unit only those that meet the minimum educational and experiential qualifications as stated in the advertisement. If wording in the ad allows for the search process to continue until a suitable candidate is found, the Affirmative Action Director will review each application upon receipt.

Stage two of the affirmative action program is to provide the Affirmative Action Office with a list of search committee members, the criteria rating sheet, and interview rating sheet to be used in the screening process. The Affirmative Action Officer will ensure that the search committee chairperson has received training regarding AA/EEO issues. In addition, the Affirmative Action Officer will attend the first meeting of the screening committee to discuss procedures and answer questions.

When the pool of final applicants has been identified, form AA-2 shall be submitted to the Affirmative Action Office. This identifies the final applicant pool and reasons why other applicants were eliminated. The Affirmative Action Officer will identify women and minorities in the final applicant pool if the information is available. When the final applicant pool includes candidates who are equally qualified, preference will be given to gender and racial minorities, disabled individuals, and Vietnam veterans when members of those groups are underrepresented.

The Affirmative Action Officer will notify the chair of the search committee within two days whether it may proceed with the screening process. If the composition of the applicant pool does not reflect successful affirmative action efforts, the recruiting process will be reviewed in consultation with the hiring authority. If it can be demonstrated that all reasonable measures for affirmative action have been exhausted, the screening process may continue; otherwise, further affirmative action recruitment efforts may be required.

The final step in this process is to submit to the Affirmative Action Officer form AA-3 showing all candidates to whom the position was offered and if they accepted or rejected the position.

REFERENCES AND INTERVIEWS

Reference checks should be made on final candidates for any faculty, exempt, or classified staff position. If possible, the references should be in writing. A standard set of questions shall be used. Questions not permissible under affirmative action guidelines shall be excluded.

The Affirmative Action Officer shall meet with the chairperson of the search committee, who will be involved in the interview process, to assure uniform application of the criteria to all candidates and to explain unsuitable or inappropriate questions under affirmative action guidelines.

Structured interviews, conducted by individuals sensitive to affirmative action goals, are useful tools in assessing the candidate. Interviewers shall consistently and uniformly apply evaluation criteria to all interviewees. The interviewers should evaluate each candidate's individual ability and potential and be familiar with the actual job requirements.

Questions regarding race, religion, creed, ethnic group, national origin or ancestry, political beliefs or affiliations, marital or family status, or age should be eliminated from the interview process unless they relate to a job requirement. More specific guidelines can be obtained from the Affirmative Action Officer.

SELECTION STANDARDS AND PROCEDURES

When the final applicant pool includes candidates who are equally qualified, gender and racial minorities, disabled individuals, and Vietnam-era veterans will be given preference according to the group most underrepresented.

If hiring procedures have been determined to be inappropriate, the head of the hiring unit will be notified by the Affirmative Action Officer regarding corrective procedures.

Impasse: If procedures cannot be certified by the Affirmative Action Officer, a written explanation will be submitted to the President for resolution.

If it is necessary to extend the closing date and employment qualifications are modified, all previous applicants shall be reconsidered.

NEPOTISM

No College employee may function as judge or advocate in specific situations involving members of his or her immediate family (such as the employee's spouse, child, parent, grandparent, brother, sister, mother-in-law, father-in-law, son-in-law, or daughter-in-law). Members of the faculty or staff should neither initiate nor participate in institutional decisions involving a direct benefit (such as initial appointment, retention, promotion, salary, or leave of absence) to members of their immediate families.

NOTIFICATION OF CANDIDATES

Successful and unsuccessful candidates for the position will be promptly notified in writing of the decision by the head of the hiring unit or his or her designee.

RECORD KEEPING AND DOCUMENTATION

The search committee chairperson must be prepared to justify to the Affirmative Action Officer the nonselection of any applicant.

Each department or division shall give a list of names and addresses to the Affirmative Action Officer of all minority and female applicants not hired who are potential candidates for future openings.

TEMPORARY HIRING

Temporary appointments shall be for no more than five months. In case of an emergency situation, an extension can be given with the approval of the Affirmative Action Officer.

IRREGULAR HELP

No irregular-help person may be employed more than 1,385 hours in any 12-month period unless the required recruiting and selection procedures have been completed and a personnel action form submitted. Department supervisors are expected to post irregular-help position vacancies with the Personnel Office and Career Development Services. The department may also wish to review applications of eligible students kept on file in the Financial Aid Office and the applications of eligible nonstudents kept in the Personnel Office. Whenever possible, department supervisors are expected to interview several applicants before hiring an irregular-help person.

ADJUNCT FACULTY

Departmental administrators may advertise locally for anticipated part-time instructional positions prior to the start of each semester. Individuals responding will form an eligible applicant pool. Readvertising is not required if the lecturer teaches again within a one-year period.

Identification Cards

All regular staff, full- and part-time, are issued employee identification cards. These cards are valid for the fiscal year in which they are issued. Each September every active employee will receive a new validation sticker in the mail. Employees who leave the College are required to surrender their identification cards to Personnel Services at the time of their exit interview.

A new identification card will be issued to replace a lost or stolen card. A fee will be charged. There is no fee for replacement cards due to name changes.

The identification card permits employees to borrow books from the library and admits them to the gymnasium and sports facilities. The card also provides admittance to events limited to members of the College community and gives employees a 10 percent discount at the book store on supplies, gift items, and clothing and a reduced price in the College dining halls.

Job Classification Systems

(see also Position Evaluation)

The system designed by the Job Classification Task Force and accepted by the officers of the College is based on job classifications, not pay grades. The classifications were designed to be based on three factors: skills required for the job, educational background required for the job, and typical responsibilities of the job.

Under this system, everyone with a similar job will be in the same classification. Other factors, such as length of service at the College and individual job requirements, will cause salary to vary.

In the case of a job with responsibilities that appear in more than one classification, the classification assigned reflects the preponderance of the duties of the job in combination with market factors that relate to the categories.

It is very important to know that the salaries of the various groups may overlap and that more than one group may have the same general salary range. The listing below is not necessarily in order of salary.

There are 17 different classifications, with each classification describing a particular job category. The classifications are as follows:

General Workers

Service Workers

Service Specialists

Craft persons

Craft Supervisors

Receptionists, Clerks, Data Entry Persons

Office Specialists

Secretaries and Office Managers

Administrative Assistants

Technicians

Technical Specialists

Nurses

Academic Support Specialists

Administrative Staff

Administrators

Managers

Senior Managers

The task force is attaching a listing that contains the descriptions of each classification by skill level, education level, and typical job responsibilities. This list was prepared in consultation with all departmental supervisors, the vice presidents, and the President.

JOB CLASSIFICATION: GENERAL WORKERS

Skills Required: Ability to follow instructions; ability to perform repetitive tasks under close supervision; punctuality; neatness; reliability; regular attendance

Educational Background Required: Ability to read; on-the-job training is provided

Typical Job Responsibilities: Repetitive jobs, food handling; serving food; preparation of eating utensils; reporting of areas needing attention; replacement of supplies; keeping specified areas in order

JOB CLASSIFICATION: SERVICE WORKERS

Skills Required: Ability to perform defined tasks thoroughly with minimal supervision; punctuality; neatness; reliability; regular attendance

Educational Background Required: Ability to read and write; possession of related work experience; ability to work with others

Typical Job Responsibilities: Environmental maintenance; monitoring of parking lots; assisting with food preparation; hostessing areas; delivering mail or supplies; reporting needed repairs

JOB CLASSIFICATION: SERVICE SPECIALISTS

Skills Required: Ability to act independently with little or no supervision; ability to read and interpret manuals for systems or machinery and act accordingly; ability to work with others

Educational Background Required: High school diploma preferred; ability to read and write; related work experience

Typical Job Responsibilities: Providing service to College personnel in specific areas; responsibilities will vary by department; some are preparing food, maintaining security of campus areas, reporting or making needed repairs, doing custodial work involving supervising other custodial personnel; may require leadership role

JOB CLASSIFICATION: CRAFT PERSONS

Skills Required: Ability to follow blueprints or other technical instructions; working with care for details; operating machinery, requiring manual dexterity, good hand-eye coordination; must have mathematical ability; ability to work with minimal supervision after initial instructions from supervisor

Educational Background Required: High school diploma preferred; technical school or formal apprenticeship required

Typical Job Responsibilities: Building and maintaining College equipment and facilities

JOB CLASSIFICATION: CRAFT SUPERVISORS

Skills Required: Ability to plan and to instruct others; ability to set priorities and consider alternate courses of action; ability to develop timetables and meet deadlines within budgets; ability to both accept supervision and supervise others with fairness and tact; good communication and interpersonal skills

Educational Background Required: High school diploma (preferred); extensive experience in the field

Typical Job Responsibilities: Supervision and planning of maintenance or production operations; planning and prioritizing of work of craft workers; lining up resources for future jobs; controlling job area; scheduling production; participating in employee evaluations; conveying College policies and procedures to employees

JOB CLASSIFICATION: NURSES

Skills Required: Appropriate personal and technical skills for dealing with those who are ill; organizational and scientific skills; excellent communication skills for working with all College constituencies; all skills required that contribute to the provision of excellent nursing

Educational Background Required: State license as a registered nurse and/or nurse practitioner

Typical Job Responsibilities: Perform and participate in health care evaluation, treatment, and education for students, faculty, and staff; cooperate with College personnel in identifying and meeting the health care needs of students and the College community; provide for confidentiality of care and record keeping at all times

JOB CLASSIFICATION: TECHNICIANS

Skills Required: Attention to detail; may require ability to operate machinery; strong logical thinking; ability to follow instructions to the letter; good problem-solving skills; good interpersonal skills are required for dealing with students and College personnel

Educational Background Required: Technical training required; college degree preferred and, in some cases, required

Typical Job Responsibilities: Performing technical procedures; job responsibilities may vary completely by technical area; these positions usually have medium supervision; there may be occasions for independence

JOB CLASSIFICATION: RECEPTIONISTS, CLERKS, DATA ENTRY PERSONS

Skills Required: Good interpersonal skills for meeting students and others; word-processing and data-entry skills are generally required; good telephone skills; good spelling, vocabulary, punctuation, grammar, and proofreading skills; should be able to perform repetitive tasks; must follow written and oral instructions; must have the ability to tend to details

Educational Background Required: High school diploma required; business courses or related experience are preferred

Typical Job Responsibilities: Typing, data-entry, and/or word-processing skills; filing; telephone answering; distributing mail; greeting department visitors

JOB CLASSIFICATION: OFFICE SPECIALISTS

Skills Required: Extreme attention to detail; ability to spot errors or potential errors; ability to think logically and perform repetitive tasks; ability to handle confidential data with discretion and integrity; accurate and fast typing using word processor or computer program; may require cataloging and filing skills

Educational Background Required: High school diploma required; appropriate education or experience as the individual job requires

Typical Job Responsibilities: Data entry; balancing accounts; maintaining records; printing reports; searching database using computer programs; placement in this job classification is appropriate when the majority of the employee's time is spent doing specialized office functions

JOB CLASSIFICATION: SECRETARIES AND OFFICE MANAGERS

Skills Required: Operating office machines and equipment; following written and oral instructions; explaining procedures and answering questions; maintaining records in good order; cataloging; organizing; keen attention to detail; excellent interpersonal skills and telephone manner; excellent English skills; word-processing skills; ability to handle confidential information appropriately

Educational Background Required: High school diploma required, with additional business school or college studies preferred; in some specific fields, may require specialized training, such as shorthand, ability to operate a Dictaphone, or legal or medical training

Typical Job Responsibilities: May perform both secretarial and staff-supervisory functions; typing or using a word processor; ordering office supplies; supervising office workers; providing services to students and faculty; answering correspondence with minimum instruction; organizing office files; following schedules of others; scheduling meetings; coordinating general office activities; this position may have little or much supervision

JOB CLASSIFICATION: ADMINISTRATIVE ASSISTANTS

Skills Required: Strong organizational skills for the performance of a variety of complex, responsible, and confidential secretarial and/or administrative duties; excellent English for written and spoken communication; ability to work independently, exercising judgment and initiative; ability to work under pressure; skills in problem solving, negotiation, tact, and diplomacy; all secretarial skills are required; ability to represent the College to external constituents on occasion is required

Educational Background Required: High school diploma required; some business school or college preferred

Typical Job Responsibilities: Act as an assistant to an administrator, manager, or senior manager; must understand the work of the supervisor so this work can be explained and performed, if necessary; this position usually requires many tasks to be performed at once and may require strong public contact with College constituents and the handling of highly confidential material

JOB CLASSIFICATION: TECHNICAL SPECIALISTS

Skills Required: Specialized technical skills required; attention to logic and detail; interpersonal skills; good English and good communication skills; good math skills; good problem-solving skills; ability to follow instructions and work under high pressure

Educational Background Required: College degree in specialized area desired and may be required; specialized technical schooling of some kind required; experience in the field preferred

Typical Job Responsibilities: Technical Specialists will have different job responsibilities according to the department in which the work is done and the specific position held

JOB CLASSIFICATION: ACADEMIC SUPPORT SPECIALISTS

Skills Required: Must possess theoretical, practical, or technical knowledge to counsel and teach students; excellent communications skills for working with all College and external constituencies; ability both to receive supervision and supervise others and to implement departmental policies

Educational Background Required: College degree required; advanced degree is usually required

Typical Job Responsibilities: The individual will ordinarily teach, counsel, and act as a resource for the learning process; the position may involve supervision of graduate interns, secretaries, tutors, and work-study and nonwork-study students; there may be other administrative responsibilities

JOB CLASSIFICATION: ADMINISTRATIVE STAFF

Skills Required: Interpersonal skills, including tact and diplomacy for dealing with students or outside personnel; excellent communication skills; skills in public relations; may require typing for data entry or other computer use; attention to detail for handling records; ability to handle confidential material with discretion and integrity; ability to work under direct supervision, completing a clearly defined administrative function

Educational Background Required: College degree required

Typical Job Responsibilities: Perform specific, clearly defined administrative duties under direction of an administrator, manager, or senior manager; meeting with students, their families, or other individuals to solve problems and explain College policies; may involve recruiting students and helping students with college procedures; may involve some record keeping and clerical work; may involve supervising student assistants

JOB CLASSIFICATION: ADMINISTRATORS

Skills Required: Ability to supervise personnel with tact and diplomacy; carry out departmental goals and objectives; good communication skills for dealing with students and outside personnel; ability to both receive close supervision and supervise others; implement department policies; may involve helping with budget preparation and planning

Educational Background Required: College degree required; advanced degree may be expected

Typical Job Responsibilities: Direct specific, clearly defined administrative areas or assist in the direction of broader activities of larger departments; may involve supervision of daily affairs of administrative areas; may involve participation in employee evaluations; reports to a manager or senior manager; provision of personal or professional services to students

JOB CLASSIFICATION: MANAGERS

Skills Required: Planning and budgeting for departmental goals and objectives; tact and diplomacy for supervision of staff and contact with the public; making presentations; decision making; developing timetables of departmental operations; analyzing data and situations; evaluating personnel; interviewing and hiring skills; coordinating departmental activities

Educational Background Required: College degree required; advanced degree expected

Typical Job Responsibilities: Supervise significant areas of administrative operations and related budgets; supervision of staff; budgetary responsibility; working with senior managers and/or vice presidents to carry out institutional policies and priorities

JOB CLASSIFICATION: SENIOR MANAGERS

Skills Required: Planning; budgeting of a number of departments; supervision of a large staff; negotiating; analyzing; evaluating employees; decision making with broad institutional goals in mind; developing timetables of complex institutional operations; excellent communications skills and interpersonal skills; ability to work with College officers in setting institutional goals

Educational Background Required: College degree and advanced degree required

Typical Job Responsibilities: Direct major areas of the College with large dollar budget responsibilities or provide professional services; supervision of area activities through administrators and managers; serving on College committees at the highest levels

Job Posting and Job Hotline

The College fills job vacancies, whenever practical, by promotion or transfer from within the College. Openings that can be filled by reorganization within the same office will not be posted. All other regular staff positions are posted in Personnel Services and the Campus Center. Posted notices give information including job title, grade, department, a brief description, and key requirements.

JOB HOTLINE

Staff members may call the job hotline number for 24 hour-a-day access to recorded job posting information. The hotline service is updated on Thursdays. It gives position title, a brief description, including main responsibilities, and salary range. Questions about the hotline are answered by Personnel Services.

Employees who have successfully completed their new employee period and who are interested in a particular position, for which they are qualified, may contact Personnel Services and make a formal application. Employees applying for a new position will have their job-related experience, skills, qualifications, and previous work record taken into consideration. Open positions will be filled by the most qualified candidates after a full and fair search has been made. Employees transferred to another position of a higher grade are eligible for a salary increase commensurate with the new grade. The employee who has transferred will be a new employee for a period of three months, but will retain benefits.

Jury Duty

POLICY

It is the policy of the University to encourage employees to exercise their civic responsibilities by performing jury duty service, when called.

This policy applies to full-time permanent and part-time permanent employees with a scheduled work week of at least 20 hours.

Compensation

Each employee to whom this policy is applicable may be excused to serve on jury duty for up to 10 working days and shall be paid his or her regular University base salary, less any amount received for jury duty (normally $10 per day) during this term. However, the employee is expected to report to work on any day when not engaged in jury duty.

For an employee serving on a jury in which the trial extends beyond 10 working days, the employee's continued absence will be excused until the trial is completed. However, compensation will not be provided beyond that initial 10-working-day period.

Procedure

Upon receipt of a notice to serve on jury duty, each employee must immediately present the notice to his or her supervisor. The supervisor will retain a copy of this notice for the employee's file. If an employee fails to provide reasonable notice to the supervisor, and such failure on the employee's part cannot be justified, the employee may be subject to discipline. In cases of employees in critical positions, at critical times during the year, an unjustified failure to give reasonable notice to the supervisor may result in denial of an excused absence.

Temporary Postponements

Temporary postponements may be possible when scheduled jury duty falls at an unreasonable time. If a temporary postponement is determined by the supervisor to be necessary, the supervisor will provide the employee with a letter addressed to the Clerk of the Court, which sets forth the problems that will be encountered by the University if the employee must serve as scheduled. A more convenient time should also be specified in this letter. Normally, a first postponement will be granted as a matter of course. Further postponements are more difficult to obtain.

Benefits

All benefits shall remain in effect, and the employee continues to accrue vacation and sick leave, while on an excused absence for jury duty.

Time Records

A full-time permanent or part-time permanent employee's absence for jury duty should be recorded on the time records maintained in each division.

A probationary employee's absence should be noted on the time record as an absence without pay. Should the absence for jury duty continue beyond two weeks, the probationary employee should be placed on a leave of absence.

Separation of Classified Employees

(see also Discipline, Termination of Employment)

RESIGNATIONS

Full-time classified employees who wish to resign should give at least two weeks' notice. Resignations submitted with less than the specified notice may be accepted with prejudice.

LAYOFFS

In the absence of sufficient work or sufficient funds, or in the event of a reorganization of a unit that results in the elimination of one or more positions, employees may be laid off according to the following procedures:

1. The departmental administrator determines which position classification is to be reduced.

2. Departmental employees in that classification are categorized as follows: (A) disabled war veterans, (B) employees with permanent status in the class, (C) probationary employees who have permanent status in a lower class, and (D) probationary employees without permanent status in any class.

3. Departmental employees in the classification are awarded retention points as follows: (A) one point for each month of state service, (B) one point for each month of state service rated satisfactory, and (C) one-half point for each month of state service rated above satisfactory.

4. Employees in category D of 2 are to be laid off before any in category C are laid off, and so on, with highest priority for retention assigned to those in category A. Within each category, the employee with the lowest number of retention points is the first to be laid off.

In every case of layoff, the departmental administrator must concurrently give two weeks' notice to the employee and the personnel officer.

The personnel officer will make every effort to place an employee being laid off in a position of the same classification and pay grade. If another position is not available, the employee's name is placed on a layoff roster. An employee whose name is on this roster and who is qualified for the position must be offered reinstatement to a position in the class from which he or she was laid off or in a lower class in the same series or in a class in which the employee has held permanent status with the College before any other person may be promoted, transferred, reinstated, or hired for that class by any College unit. Reference for re-employment from layoff rosters is determined as in the preceding page: that is, those in category A are to be re-employed before any in category B and so on, and within a category the employee with the largest number of retention points is the first to be re-employed.

Names of employees laid off remain on the layoff roster for one year.

An employee who resigns voluntarily, is terminated for cause, or fails to satisfactorily complete the required probationary period is not eligible to be placed on the layoff roster.

DISMISSAL OR SUSPENSION

Suspension means an enforced period of absence, with or without pay, for disciplinary purposes or pending investigation of charges made against an employee.

Grounds for Dismissal or Suspension

Any classified employee may be dismissed or suspended for any of the following causes that occur during the period of his or her employment:

1. Failure to perform the duties and carry out the obligations imposed upon him or her by the state constitution, state statutes, or College rules and regulations
2. Inefficiency, incompetence, or negligence in the performance of duties
3. Physical or mental incapability of performing assigned duties
4. Refusal to accept a reasonable and proper assignment from an authorized superior
5. Insubordination, conduct unbecoming of a state employee, or conduct detrimental to good order and discipline in his or her department
6. Intoxication on duty
7. Careless, negligent, or improper use or unlawful conversion of College property, equipment, or funds
8. Use of any influence that violates the principles of the merit system in an attempt to secure a promotion or privileges for individual advantage
9. Conviction of official misconduct in office, conviction of any felony, or conviction of any other crime involving moral turpitude
10. Acceptance of gifts in exchange for influence or favors given in his or her official capacity
11. Habitual pattern of failure to report for duty at the assigned time and place
12. Habitual, improper use of sick leave privileges
13. Unauthorized disclosure of confidential information from official records
14. Absence without leave
15. Misstatement or deception in his or her application for College employment
16. Failure to obtain or maintain a current license or certification lawfully required as a condition for performing his or her duties
17. Prohibited participation in political activities

Dismissal Procedure

Whenever a departmental administrator considers it necessary to dismiss a classified employee, the administrator must notify the employee and the personnel officer concurrently. In the case of employees with permanent status, the notification is to clearly set forth the specific reasons for the recommendation for dismissal.

Normally, two weeks' notice will be given to classified employees, including those on probation. Two weeks' notice is not necessary for temporary employees, but every effort should be made to give at least five-working days' notice.

Suspension for Investigation

A departmental administrator may place a classified employee on suspension, with pay, pending investigation of charges that, if substantiated, would constitute proper cause for dismissal. Such suspension may be effected without prior notice upon concurrent notification of the employee and the Personnel Officer. Each such suspension must be superseded by reinstatement to duty, dismissal, or disciplinary suspension within 30 calendar days after the suspension or within such extension of time as may be approved by the Personnel Officer.

Suspension on Felony Charges

A departmental administrator may place a classified employee on suspension, without pay, upon the issuance of an indictment for felony charges relating to conduct outside his or her employment and upon concurrent notification of the employee and the Personnel Officer. Such suspensions may remain in effect during the time such charges are pending. Full reinstatement of all benefits and salary to which the employee would have otherwise been entitled will be provided to the employee upon a subsequent finding that the charges or information were without grounds or were dismissed.

Disciplinary Suspension

A departmental administrator may place a classified employee on suspension, without pay for discipline upon concurrent notification of the employee and the Personnel Officer. Such suspensions must not exceed 30 calendar days.

EXPIRATION OF TEMPORARY APPOINTMENT

A departmental administrator may recommend the termination of any classified appointment that was of a temporary nature upon at least five-working days' notice concurrently to the employee and the Personnel Officer.

NOTICE TO PERSONNEL OFFICE OF EMPLOYEE TERMINATIONS

Supervisors must be certain that the Personnel Office is notified immediately when the employment of any person on regular appointment is to be terminated. This notification should be by telephone when time is short. Also, a properly completed personnel action form and letter of resignation must be sent to the Personnel Office early enough to be acted on and forwarded to the payroll office before the person's last day of employment. This procedure is necessary to ensure that no person is paid improperly after he or she has left the employment of the College.

An employee contemplating interruption or termination of service to the College should consider the effect of such a decision, its timing on the programs of the institution, and should give due notice of his or her intention. (The procedures for recruitment and selection for permanent full-time faculty and exempt staff positions normally require two to three months; classified positions may require two months.)

All financial obligations to the institution must be met prior to termination. Institutional keys should be checked in at the Personnel Office. Faculty-Staff Handbooks should be handed into the Personnel Office.

Nepotism

It is the policy of the College to seek the most qualified persons to fill its teaching, administrative, and staff positions. However, effective from the date of this policy, members of the same family may not be appointed to faculty and staff positions in the same department. In addition, no family member may have direct or indirect supervision over the progress, performance, pay, or welfare of another, and together they may not be involved with matters of financial controls and physical inventories of College properties.

For the purpose of this policy, members of the same family include spouses, domestic partners, children, stepchildren, wards, grandchildren, parents, grandparents, siblings, in-laws, uncles, aunts, nieces, nephews, and cousins. When two employees in the same department or in a supervisory relationship get married or become domestic partners, the one with the shorter length of service will be required to transfer, resign, or be terminated within 30 days unless the other does so voluntarily.

The Officers Council may grant exceptions to this policy only for temporary appointments up to one year to meet a significant College need.

The pension-plan definition of domestic partner applies to this section. "Domestic partners are adult individuals who are not related by blood, have resided together continuously for at least six months and intend to reside together on a permanent basis, are mutually responsible for their common welfare, and maintain no other domestic partnership or marriage."

Outside Employment

POLICY STATEMENT

It is the policy of the College to permit employees to hold second jobs, subject to certain restrictions as outlined below.

EFFECTIVE DATE

This procedure is effective upon receipt and supersedes all prior issued procedures.

APPLICATION

This procedure applies to all exempt and nonexempt salaried and hourly employees of the College.

RESTRICTIONS TO OUTSIDE EMPLOYMENT

The College requires that employees' activities away from the job must not compromise the College's interests or adversely affect job performance and ability to fulfill all responsibilities to the College.

Full-time employees are permitted, but are not encouraged, to engage in outside employment or other work activity.

Employees are cautioned to consider carefully the demands that additional work activity will create before seeking or accepting outside employment. Outside employment will not be considered an excuse for poor job performance, absenteeism, tardiness, leaving early, refusal to travel, or refusal to work overtime or different hours. If outside work activity does cause or contribute to job-related problems, such employment must be discontinued; and, if necessary, normal disciplinary procedures will be followed to deal with the specific problem.

The College will be particularly concerned about outside employment that—

- will reduce the employee's efficiency in working for the College or
- involves working for an organization that does a significant amount of business with the College, such as major contractors, suppliers, etc.

All employees are prohibited from engaging in any activity that compromises the College's image. This prohibition includes the unauthorized use of any College tools, equipment, or resources. In addition, employees are not to conduct any outside business during paid working time

Employees who have accepted outside employment are not eligible for paid or unpaid excused-absence leave when the absence is used to work on the outside job or is the result of an injury sustained on the second job. Fraudulent use of sick leave will be subject to disciplinary action up to and including termination.

ADMINISTRATION

It is recommended that employees who accept outside employment, including self-employment, should notify their immediate supervisor. The notification should state the name and address of the outside employer, the nature of the job, and the hours and days of employment.

MISCELLANEOUS

Questions concerning this procedure should be addressed to the Human Resources Department.

Overtime Pay

College employees, whose positions are classified as nonexempt from the overtime provisions of the Fair Labor Standards Act, will be covered by the following overtime policy.

Overtime compensation will be paid to employees for all time worked in excess of 40 hours of paid time in a workweek.

Overtime compensation may be either—

1. payment at 1.5 times an employee's regular hourly pay rate (overtime pay) or
2. time off at 1.5 times the number of overtime hours worked (compensatory time off).

For hours worked in excess of the normal work schedule, but less than 40 hours of paid time in a workweek, employees are eligible to receive either—

1. payment at the regular or set hourly rate of pay (straight time pay) or
2. time off for the number of additional hours worked (compensatory time off).

It is recommended that the supervisor determine with the employee the type of overtime compensation desired before the hours are worked; however, the final decision rests with the supervisor, who must notify the employee before the hours are worked. Overtime pay must be paid on the regular payday for the pay period in which the workweek ends. Compensatory time off must be taken within the same workweek the time was earned.

Paid time includes regular time; overtime (except that earned on holidays, on bad weather days, and during on-call time); compensatory time; birthday, funeral, jury duty, parental, personal sick, and vacation leaves; college-paid Worker's Compensation time; traditional or college-designated holiday time as published by Personnel Services each year; bad-weather-day straight time; and college-required clothing change and/or cleanup time.

All hours worked in excess of an employee's normally scheduled workweek must be authorized, in advance, by the supervisor. The College workweek is the seven-day period starting at 12:01 a.m. on Friday and ending at midnight on Thursday.

Pay Level Steps

CLASSIFIED SALARY STEP PLACEMENTS

New Employees (Full- and Part-Time)

The immediate supervisor is responsible for recommending the salary step placement for each new employee. No salary placement will be made above Step 4 for any new employee.

The following guidelines are used to determine the appropriate initial salary step placement for regularly scheduled employees working half-time or more:

Step 1: Employee satisfactorily meets the minimum education and experience requirements of the position.

Step 2: Employee has two through four years of relevant experience beyond the minimum requirement for the position.

Step 3: Employee has five through seven years of relevant experience beyond the minimum requirement for the position.

Step 4: Employee has eight or more years of relevant experience beyond the minimum requirement for the position.

Prior work experience that is used to satisfy the minimum education and experience requirements of the position cannot also be used for determining salary step placement.

All proposed step placements for regularly scheduled employees working half-time or more must be approved by Personnel Services before any commitment can be made to the new employee.

Transfer from Faculty or Management Unit

An employee requesting a transfer from a position in the faculty or management unit to a position in the classified unit will be placed on an appropriate step in the new salary range using the guidelines for initial step placement for regularly scheduled employees working half-time or more.

Consideration will also be given to placement above Step 4 based on the following guidelines:

Step 4: Employee has 8 through 10 years of relevant experience beyond the minimum requirement for the position.

Step 5: Employee has 11 through 13 years of relevant experience beyond the minimum requirement for the position.

Step 6: Employee has 14 through 16 years of relevant experience beyond the minimum requirement for the position.

Step 7: Employee has 17 through 19 years of relevant experience beyond the minimum requirement for the position.

Step 8: Employee has 20 or more years of relevant experience beyond the minimum requirement for the position.

Prior work experience that is used to satisfy the minimum education and experience requirements of the position cannot also be used for determining salary step placement.

All proposed step placements for regularly scheduled employees working half-time or more must be approved by Personnel Services before any commitment can be made to the employee.

Transfer to a Position in Another Classification Having a Higher Maximum Salary Rate

Upon recommendation by the Dean, Vice President and/or President, and the Director of Personnel Services that a current employee be transferred into a vacant position with a higher maximum salary rate, Personnel Services will complete a personnel action form moving the employee to the same pay step on the new pay level.

Transfer to a Position in Another Classification Having a Lower Maximum Salary Rate

An employee's written request for a voluntary transfer must be submitted to Personnel Services for inclusion in the employee's personnel file.

An employee requesting a voluntary transfer will remain at the same pay step on the new pay level. An employee who is involuntarily transferred will receive no change in pay for 30 calendar days and then will be paid at the same pay step on the new pay level.

A supervisor who is considering the transfer of a permanent employee must confer with the Dean, Vice President and/or President, and the Director of Personnel Services before taking action to ensure that all contractual obligations are met.

An employee who is subject to transfer for inadequate performance must have been evaluated prior to transfer and allowed a reasonable, or agreed upon, period of time for improvement before receiving a second and final performance evaluation recommending transfer. These evaluations will be placed in the employee's personnel file.

The Director of Personnel Services will provide an official notice of transfer to a bargaining unit employee in compliance with contractual obligations. Personnel Services will complete all applicable personnel action forms to initiate the transfer.

Transfer to a Position in Another Classification Having the Same Maximum Salary Rate
An employee will receive no change in pay.

Reclassification
If a reclassification review of a position determines that an employee's classification will remain the same, the employee will receive no change in pay. If an employee's classification is changed, the employee will remain at the same pay step on the new pay level. Normally, the effective date for a reclassification will be the first of the month following the receipt of the completed position reclassification request form. Personnel Services is responsible for completing all applicable personnel action forms initiating the reclassification and the department is responsible for initiating any corresponding position budget paperwork.

Step Advancements for Present Employees (Full- and Part-Time)
Employees hired to work half-time or more on a regularly scheduled basis prior to January 1 of the preceding fiscal year may be eligible for a step increase based on the results of the preceding year's job performance evaluation (if provided for in the current collective bargaining agreement). Step increases for regularly scheduled employees working half-time or more are initiated by Personnel Services.

Employees hired on a temporary or casual basis to work less than half-time may be eligible for a step increase contingent upon a positive evaluation of the preceding year's job performance and upon completion of the equivalent of a full-time annual work load. Step increases for employees working less than half-time will not be awarded in any year in which regularly scheduled employees working half-time or more are determined ineligible for step increases under terms of the current collective bargaining agreement. To initiate a step increase, the department head must prepare a personnel action form and submit it to the Vice President or President for approval. The approved form is then transmitted to Personnel Services for review and final approval.

MANAGEMENT SALARY STEP PLACEMENTS

New Employees (Full- and Part-Time)
The immediate supervisor is responsible for recommending the salary step placement for each new employee. No salary placement will be made above Step 7 for any new employee, except as provided otherwise by the President for a vice president or executive dean.

The following guidelines are used to determine the appropriate initial salary step placement for regularly scheduled employees working half-time or more:

Step 1: Employee satisfactorily meets the minimum education and experience requirements of the position.

Step 2: Employee has two through four years of relevant experience beyond the minimum requirement for the position.

Step 3: Employee has five through seven years of relevant experience beyond the minimum requirement for the position.

Step 4: Employee has eight or more years of relevant experience beyond the minimum requirement for the position.

Prior work experience that is used to satisfy the minimum education and experience requirements of the position cannot also be used for determining salary step placement.

All proposed step placements for regularly scheduled employees working half-time or more must be approved by Personnel Services before any commitment can be made to the new employee.

Transfer from Faculty or Classified Unit
An employee transferring from a position in the faculty or classified unit to a position in the management unit having a higher maximum salary rate will be granted an increase to the next higher dollar amount on the new pay level plus one full step (two half steps).

An employee transferring from a position in the faculty or classified unit to a position in the management unit having a lower maximum salary rate will be placed at the same rate in the new salary range. In both cases, an employee will be paid at no less than Step 1 nor more than Step 17 of the new salary range.

Transfer to a Position in Another Classification Having a Higher Maximum Salary Rate

Upon recommendation by the Dean, Vice President, Executive Dean, and/or President, and the Director of Personnel Services that a current employee be transferred into a vacant position with a higher maximum salary rate, Personnel Services will complete a personnel action form moving the employee to the next higher dollar amount on the new pay level plus one full step, two half steps, but not more than Step 17.

Transfer to a Position in Another Classification Having a Lower Maximum Salary Rate

An employee's written request for a voluntary transfer must be submitted to Personnel Services for inclusion in the employee's personnel file.

An employee requesting a voluntary transfer will be placed at the same rate in the new salary range, but no more than Step 17. An employee who is involuntarily transferred will receive no change in pay for 30 calendar days and then will be placed at the same rate in the new salary range, but no more than Step 17.

A supervisor who is considering the transfer of a permanent employee must confer with the Dean, Vice President, Executive Dean, and/or President, and the Director of Personnel Services before taking action to ensure that all obligations are met.

An employee who is subject to transfer for inadequate performance must have been evaluated prior to transfer and allowed a reasonable, or agreed upon, period of time for improvement before receiving a second and final performance evaluation recommending transfer. These evaluations will be placed in the employee's personnel file.

The President will provide an official notification to a management employee who is being transferred. Personnel Services will complete all applicable personnel action forms to initiate the transfer.

Transfer to a Position in Another Classification Having the Same Maximum Salary Rate

An employee will receive no change in pay.

Reclassification

If a review determines that there should be no change in pay classification for the position, the employee will receive no change in pay. If a review determines that the position should be moved to a pay classification with a higher maximum salary rate, the employee will move to the next higher dollar amount on the new pay level plus one full step (two half steps). If a review determines that the position should be moved to a pay classification with a lower maximum salary rate, the employee will move to the same rate on the new pay level. In all cases, an employee will be paid at no less than Step 1 nor more than Step 17 of the new salary range. Normally, the effective date for reclassification will be the first of the month following the receipt of the completed request for placement review.

Personnel Services is responsible for completing all applicable personnel action forms initiating the reclassification and the department is responsible for initiating the appropriate position budget paperwork.

Step Advancements for Present Employees (Full- and Part-Time)

Step advancements on the salary schedule shall be considered on an annual basis, or as otherwise provided in the Management Employees Working Agreement. To qualify for advancement, an employee must—

1. have been employed half-time or more for six or more months (at least 0.5 FTE),
2. have received a positive evaluation, and
3. been given a written recommendation for step advancement, which includes specific reasons for advancement.

An employee who was previously placed at the same rate (but not a step) in the new range, will receive an advancement to the next step.

Performance Evaluation

PREFACE

Primary supervisors are responsible for evaluating work performance of their employees. The purpose of employee performance evaluations is to identify areas of strength and weakness, improve work performance, and provide a basis on which decisions may be made concerning retention, promotion, merit increases, or special adjustments.

Performance evaluation is a responsibility of every manager and is a justified expectation of employees. Whenever possible, the immediate supervisor should do the performance evaluation.

A formal evaluation of performance of all exempt staff (nonfaculty) is required at least once a year no later than April 15. The performance evaluation and written recommendations must be signed and routed through appropriate channels. A copy of the form is sent to the Personnel Office and inserted in the employee's personnel file. The supervisor must review the results of the performance evaluation, with recommendations to them. A copy will be filed in the employee's official personnel file.

Keep in mind that this form serves as the official record of performance evaluation and should be as complete as possible. The department retains one copy of the evaluation, which it refers to in later evaluations. A series of evaluations becomes a record that should support decisions such as promotion or dismissal.

GENERAL CONTENTS OF EVALUATION

Each performance evaluation shall address job knowledge, productivity, quality of work, initiative, dependability, managerial qualities (if applicable), overall rating of performance, and supervisor and employee comments. Safety and loss control shall be addressed in the supervisor's general comments section. Any instrument used should be approved by the President's Cabinet.

The Personnel Office has a supply of evaluation forms that may or may not be used.

Position Evaluation

An administrative position is assigned a job classification and salary grade at the conclusion of an evaluation process, which uses information provided to the Human Resources Office using the college position description form. This form is completed by the employee and approved by the appropriate supervisor(s) and senior staff.

The point-factor method applies compensable factors—standards that can be used to determine the relative overall value of a position to the College. These factors assure that each position is measured using the same criteria.

The College's job evaluation program has 10 factors:

Knowledge measures the minimum formal education or training required to be hired for the position.

Experience measures the minimum time necessary to acquire the skills to start performing the duties of the position. This job-related experience can be gained through positions held at the College or at other organizations.

Complexity of Decision Making measures the extent to which independent action through the use of initiative and judgment is necessary for carrying out job responsibilities. Consideration is given to the amount of authority delegated to the position.

Impact of Decisions measures the extent to which inappropriate or erroneous decisions may influence the internal operations or external relations of the College. These errors are not caused by poor job performance but are due to the risk inherent in making decisions in the position when performance is acceptable.

Internal Contacts measure the complexity and frequency of contacts with the students, faculty, and staff of the College.

External Contacts measure the complexity and frequency of contacts with people and organizations outside the College.

Communications measure the communication skills needed to fill the position. Consideration is given to the position's requirement for writing letters, reports and procedures; conducting training; and speaking at professional or College functions.

Work Environment measures the physical and environmental demands of the position. Physical demands include pushing, lifting, pulling, etc. Environmental demands include travel, confinement to a work station, exposure to dust and fumes, etc.

Supervisory Responsibility measures the position's requirements for directing the efforts of others, either personally or through subordinate managers or supervisors. Consideration is given to the types of supervisory activities performed, such as allocating work, reviewing performance, making long-range plans, forecasting staffing requirements, formulating policies and procedures, and recommending salary increases, promotions, or discharges.

Number of Employees or Students Supervised measures the number of employees or students supervised directly and those supervised through subordinate managers or supervisors.

Salary ranges are established for each grade. They reflect the competitive job market from which the College hires employees. Salary surveys, which include positions that are comparable to those at the College (i.e., benchmarks), are analyzed to obtain the competitive data.

SALARY STRUCTURE

The salary structure includes five guide points for each grade:

- The minimum salary
- The first one-third level
- The midpoint level
- The two-thirds level
- The maximum salary

The middle third of each grade range (between the one-third and the two-thirds level) represents the average market value for a position. New employees would typically be hired between the minimum and the first one-third of the grade range. The highest one-third would be used to reward exceptionally meritorious performance.

Given this structure, employees in the first one-third of their range, whose performance consistently fulfills the standards and requirements of their positions may expect to progress more rapidly toward the middle third of the range. Salaries in the middle third of the range should represent good, steady, satisfactory performance.

As individual salaries pass the two-thirds level, the rate of progress toward the maximum of the grade level may be slower. Salaries in the upper third of the range should be reserved for those individuals who consistently produce outstanding results.

Therefore, employees are eligible to receive annual salary increases based on several criteria: individual performance as documented in the annual performance review, their current position in their job's salary range, and the resources available for salary increases in a particular year. A guide for supervisors to use in recommending annual salary increases is developed and distributed each year by the Human Resources Office.

POLICY APPLICATIONS

Above Maximum

No salary increase may be given that will place the employee's salary above the maximum salary for the grade. Employees whose current salaries are at or above the maximum for the grade are eligible, instead, to receive a one-time payment, which is not added to base salary. The guidelines for above-maximum payments are distributed each year to department heads as part of the annual salary increase process.

New Hires

New employees are normally hired between the minimum and the first one-third of the salary range for the position. A starting salary above the first third may be considered, for example, if the experience and job knowledge of the person warrant it, or if external market pressure exists for particular occupations. All salary offers must have the prior approval of the Director of Human Resources (or designee) so that internal equity and other considerations may be addressed. Offers above the midpoint require the additional approval of the appropriate senior staff member.

Performance Review

Each employee will participate in an annual performance review with the immediate supervisor. The performance review will be based on the responsibilities outlined in each employee's job description. Every salary increase must be supported by the performance review and be within the merit guidelines for that year, as issued by the Human Resources Office.

Promotions/Reclassifications

Promotion is the movement by an employee to a different position at a higher grade level. A reclassification is a change in the grade level of an employee's position.

An employee who is promoted or whose position is reclassified will normally receive a salary increase. If the employee's salary is below the minimum salary for the new grade, the salary will be increased to at least the minimum salary of the new grade. No one may be given a salary above the maximum for the new grade.

The amount of the salary increase will be based on several factors, including the relationship of the current salary of the incumbent to the new grade salary range, the number of grades by which the position was reclassified or the employee was promoted, and the grade of the new position.

Decisions about salary increases may also be affected by internal equity considerations both within a department and across the College. Department heads may not discuss salary changes with employees before appropriate consultation with the Human Resources Office. The Director of Human Resources (or designee) must approve all salary increases.

Request for Reconsideration of Position Classification

All positions have been classified using the FACTORCOMP job-evaluation process. From time to time, an employee or supervisor, or both, may believe that the classification no longer reflects an adequate understanding on the part of the evaluators of some aspect of the duties, responsibilities, skills, and experience required in the particular work situation. Accordingly, there may be a desire to appeal the classification. An appeal may be initiated by an individual employee or a supervisor or by both.

Step 1

A staff member or supervisor may request that the Human Resources Office review the classification of the employee's current position. A supervisor may also use this procedure to appeal the classification of a new or vacant position before the position is posted or advertised.

In the case of an existing position, such requests should be made only when there is evidence of substantial change in responsibilities since the position was last classified. Material submitted must include a new position description signed by the employee, the supervisor/department head, and senior staff member and a detailed explanation of how the position has changed since the last review. You can obtain a position change form from the Human Resources Office.

Members of the professional staff in the Human Resources Office who have been trained in the use of the FACTORCOMP job-evaluation process will review the position and determine the appropriate grade. This determination is returned to the senior staff member. After final approval, the staff member will be notified of the decision.

Step 2

If the employee and the supervisor are not satisfied with the outcome of the classification review, they may appeal the decision to the Director of Human Resources. After reviewing all documentation submitted and the results of the review performed by the Classification Review Committee, the director will make a determination, in consultation with other senior managers as appropriate. The senior staff member will be notified in writing of the director's decision and requested to give this information to the supervisor and the staff mem-

ber. This step constitutes the final level of appeal. Positions may not be submitted for review for 12 months from the date of the director's decision.

SPECIAL PROJECTS

Employees may occasionally be asked to work on special projects outside their normal work assignments. In these cases, the employee may be paid a stipend for this work. A stipend is not added to the employee's base salary. The amount of the stipend will depend on the nature and duration of the assignment and must have the prior approval of the Director of Human Resources (or designee).

TRANSFERS

A transfer is the movement of an employee to another position at the same grade level. An employee who accepts a lateral transfer normally will not receive a salary increase.

WORK ASSIGNMENTS OUTSIDE OF CLASSIFICATION

An employee who is assigned by the supervisor to perform a significant portion of the responsibilities of a position in a higher classification for a substantial period of time may be eligible for a temporary increase in salary. Such an increase is normally to the minimum rate for the position or an increase of 5 percent, whichever is larger. At the end of the temporary assignment, the employee's salary returns to its former level. All such arrangements must have the prior approval of the Director of Human Resources (or designee).

Probationary Period and Review

POLICY

Each new employee is subject to a three-month probationary period. During this period the supervisor is expected to provide the employee with adequate instructions for carrying out his or her duties and to help him or her adjust to his or her position.

Shortly before the completion of the three-month probationary period, the new employee is to receive a probationary review. An employee whose work has been satisfactory should be continued in the employ of the University. An employee whose work has been unsatisfactory should be separated from University employment before completion of the probationary period.

An employee who satisfactorily completes the three-month probationary period is eligible for certain University benefits and privileges as provided elsewhere in this manual and in the staff guidelines. All complaint and discipline procedures will apply to him or her. The employee is also eligible for a probationary increase of up to 3 percent of his or her base salary.

Probationary increases become effective on the first day of the pay period following the completion of three months of service, whether an employee is on the semimonthly payroll or the biweekly payroll.

PROCEDURE

Shortly before the completion of the probationary period, the supervisor receives a probationary review form and a personnel action form from Personnel Services. He or she should rate the employee's work performance on the probationary review form, and complete the personnel action form, authorizing a salary increase or separating the employee.

Important: Please note that the above policy provides for a probationary increase up to 3 percent. The purpose is to provide the supervisor with flexibility—

- to reward varying degrees of competence by granting varying amounts of salary increases and
- to avoid granting an employee an increase in salary that would cause his or her salary to be inequitable relative to salaries paid other experienced employees doing similar work.

Promotion

POLICY

It is the policy of the University to fill job vacancies by promotion from within if qualified employees are available, and provided such promotions are consistent with the affirmative action goals of the University.

The University's policy prohibits discrimination in any aspect of personnel relations because of race, sex, religious creed, color, national origin, age, ancestry, qualified handicap, medical condition, sexual orientation, or marital status, except in situations in which it is more appropriate for this University to prefer an individual because of his or her religious creed.

It is the aim of the University to provide opportunities for employees to realize their potential and assist them both to function more effectively and reach a level commensurate with their abilities and ambitions. In furthering this aim, supervisors have the following responsibilities relative to promotions:

- To develop opportunities for growth and advancement of employees
- To assist employees to receive necessary training
- To discuss promotion opportunities and requirements with each employee
- To open promotion opportunities to the handicapped, disabled Vietnam-era veterans, and other Vietnam-era veterans

To ensure equal employment opportunity when a promotion opportunity arises, applicants should be sought—

- within the immediate work unit,
- elsewhere in the University, and
- in the labor market.

It is the responsibility of the Director or Assistant Director of Personnel Services and the Assistant Dean of Administration to make appropriate recommendations to a supervisor whose affirmative action goals for increasing minority employment seem to be in conflict with his or her affirmative action goals for promotion from within.

An employee promoted to a position in a higher grade receives a promotion increase from 5 percent to 10 percent of the individual's base salary, dependent upon his or her qualifications. If a promotional increase does not bring the salary to the minimum rate of the new grade, the necessary amount of additional increase is granted. In no event should a promotional increase be granted that will raise the salary to a rate above the maximum for the new grade.

The promotional increase of part-time permanent employees is prorated.

PROCEDURE

To process a promotion action, a personnel action form should be forwarded to Personnel Services indicating salary, effective date, and change in title and grade. If the promotion involves a transfer, the department gaining the employee should prepare the personnel action form and forward it for signature to the department losing the employee. It should then be sent to Personnel Services.

The University encourages promotion from within by posting job openings as they occur. Job bulletins are posted on various bulletin boards at both campuses. The procedure for bidding on a vacant position is printed on each bulletin.

Safety and Health

POLICY

It is the policy of the University that each work location be kept free of hazards that may cause physical harm or illness to staff members. All members of the campus community are responsible for implementing this policy. Direction and assistance are provided by the Director of Public Safety, the Director of Physical Plant, the Director of Plant and Operations of the Law School, and the Personnel Officers at both campuses.

Failure to follow the following policy and procedure may result in loss of benefits to the injured or ill employee, or violation of the workers' compensation laws and the federal Occupational Safety and Health Act.

It is the responsibility of each employee to do the following:

- Perform work in a safe manner
- Report any injury or occupational illness to the supervisor immediately

The supervisor is responsible for the following:

- Knowing and enforcing the safety and health requirements for all tasks
- Keeping subordinates informed of required safe practices
- Ensuring that each employee is properly instructed in the safest manner to perform work
- Ensuring that the physical areas in which employees work are free of hazards
- Ensuring that safe materials and substances are used or that protective equipment is used
- Ensuring that each employee is informed of the potential danger to his or her health or safety if instructions are not followed
- Taking appropriate disciplinary action promptly upon the occurrence of a willful violation
- Seeking the advice of the Director of Public Safety if a question concerning a safety procedure arises that he or she cannot handle alone
- Seeing that an injured or ill person receives proper and immediate treatment for any injury or illness
- Promptly notifying a member of the Personnel Office of accidents or illnesses involving staff members
- Thoroughly investigating the circumstances of each accident or illness
- Notifying the Director of Physical Plant or the Director of Plant and Operations of the physical facilities involved in the accident or of the material or substance that may have induced an occupational illness.

The Director of Public Safety, the Director of Physical Plant, and the Director of Plant and Operations of the Law School are responsible for assisting supervisors in developing and implementing an effective occupational safety and health program.

The staff of the Personnel Office at either campus is responsible for notifying an injured employee of his or her workers' compensation benefits, as well as his or her right to select a treating physician after 30 days. Members of that office are also responsible for filing the required reports on a timely basis. Both of these responsibilities are detailed under "Procedure."

PROCEDURE

Supervisor's Responsibility

If an employee is injured on the job or becomes sick, the supervisor should do the following:

1. Obtain first aid and medical assistance as needed. Various area medical centers are approved by the University's insurance carrier for on-the-job injuries. The University's carrier for workers' compensation insurance retains the right to initially control medical treatment. The Center Emergency Room does not provide follow-up care for persons it initially treats for on-the-job injuries. It is therefore advisable to use one of the other medical groups or physicians whenever possible.

2. Investigate each accident or occupational illness promptly and thoroughly. Supervisors should file the required safety and health reports.

Employee Selection of Treating Physicians

After 30 days from the date the injury is reported, the employee is free to select a physician of his or her own choice and treatment at a facility of his or her own choice within a reasonable geographic area.

Upon the request of an injured employee, the University is required to tender one change of physicians within five working days from the date of request. (This is true within the first 30 days and would continue to be true thereafter if the employee does not select his or her own physician or facility.)

The employee is still entitled, upon request, to the services of a consulting physician of his or her own choice, at the expense of the University, in any serious case.

If an authorized representative of the University desires a change of physicians, the Personnel Officers at either campus may petition the Administrative Director, and upon showing of good cause, the Administrative Director may order the University to provide a panel of five physicians (or four physicians and one chiropractor, if requested) from which the employee must select one.

Upon receiving a request for a change of physicians, the Personnel Officer at either campus will contact the insurance carrier immediately by telephone so that the appropriate arrangements can be made.

ACTIONS BY SUPERVISORS AND PERSONNEL SERVICES IN THE EVENT OF EMPLOYEE INJURY

The following actions are needed whenever an employee is injured on the job:

- Provide appropriate care promptly to the injured and ensure his or her full participation in any benefits to which he or she is entitled.
- Protect the interests of the University by complying with federal and state safety and health laws.

Time to Take Action	Person Responsible	Actions Needed
Upon occurrences of injury	Supervisor	Provide first aid; refer employee for treatment to emergency service listed under Procedure.
After providing first aid and referring employee for professional medical assistance	Supervisor	(1) Provide copy of Supervisor's report of accident investigation to Personnel Services. (2) Refer employee to Personnel Office at campus location.
Upon receiving Supervisor's report of accident investigation	Personnel Office	(1) Inform employee of workers' compensation benefits and rights, and provide him or her with a copy of brochure, "Facts for Insured Workers." (2) Provide original and three copies of employer's report of industrial injury form to State Casualty; employer's copy to Personnel Office files (with Supervisor's report of accident investigation attached).
Upon employee's first day back at work	Supervisor	Telephone notification of employee's return to work to Personnel Office.
Upon receiving notification from Supervisor	Personnel Office	Telephone notification to State Casualty, and Payroll Systems Coordinator.

Sexual Harassment (1)

The University is committed to the maintenance of an academic environment free of all forms of discrimination or coercion that adversely affect the working or learning environment. It is fitting that the University reaffirm this commitment, specifically as it pertains to sexual harassment or harassment relating to a person's race, sex, sexual orientation, religion, national origin, age, or physical condition.

SEXUAL HARASSMENT

Policy and Definition

It is the policy of the University that no member of the University community may sexually harass another. Unwelcomed sexual advances, request for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when—

1. submission to such conduct is made either explicitly or implicitly a term or condition of instruction, employment, or participation in other University activities, or

2. submission to or rejection of such conduct by an individual is used as a basis for evaluation in making academic or personnel decisions affecting the individual, or

3. such conduct has the purpose or effect of interfering with an individuals work performance or creating an intimidating, hostile, or offensive University environment.

In determining whether an alleged behavior constitutes sexual harassment, the full context in which the incident occurred should be considered.

Guidelines

It is a violation of University policy to fail to investigate complaints reported by the person who is the subject of the alleged sexual harassment, or reported by a witness, and to fail to take timely corrective action in the event misconduct has occurred.

Filing a complaint or otherwise reporting sexual harassment shall not cause any reflection on the individual's status as a faculty member, contract staff member, classified staff member, or student, nor shall it affect future employment, compensation, work assignment, or evaluation of the individual. Retaliation against a person for filing a sexual harassment complaint is grounds for a subsequent harassment complaint. Likewise, the person accused of sexual harassment is entitled to the same protection until such a time as the charges may be substantiated by investigation.

A false allegation of sexual harassment is a violation of this policy and is itself subject to the procedures and sanctions following. To constitute such a violation, however, the complaint would ordinarily need to be false as to specific allegation of fact. That an investigating party or committee should, while agreeing on factual matters alleged, nevertheless differ in judgment or interpretation of the incident and conclude that it did not constitute sexual harassment, would not make the complaint a violation apart from evidence of conscious and willful intent to distort or exaggerate the allegation and damage the accused party.

The rights of confidentiality of all parties involved in a sexual harassment charge shall be strictly observed.

Procedure for an Informal Complaint

Consultation

In most cases, complaints of sexual harassment can be dealt with informally. In the case of complaints made by or against members of the classified staff, the Director of University Personnel Services will work with the responsible administrator in seeking resolution of the complaint.

The administrator will evaluate the validity of the complaint and the degree of seriousness of the offense and seek, to the extent possible and appropriate, to resolve the matter. An informal resolution might take the form of clarifying to the offending party the kind of behavior that may be deemed objectionable and securing the cessation of such behavior; it might also take the form of clarifying to the complaining party that the incident does not constitute harassment.

Careful attention should be given to mitigating or aggravating circumstances.

When valid complaints are resolved informally, the offending party should be cautioned that repetition of such conduct could lead to formal investigation and sanctions.

Although a major purpose of consultation and informal resolution is to resolve problems, heighten awareness, and achieve changes in behavior without resorting to formal investigatory or disciplinary proceedings, nothing in this paragraph should be construed as discouraging more formal procedures when the seriousness or repetitive character of the offense makes that the more appropriate course of action or when the complaining party is not satisfied with the proposed resolution. The administrator may encourage moving to a formal complaint when, in his or her judgment, the complaint has a sufficient degree of seriousness, or is a repetition of previous complaints, so as to indicate that informal resolution has been inadequate.

Procedure for a Formal Complaint

If, following consultation regarding the complaint as specified above, the person alleging sexual harassment should wish to make a formal complaint, he or she should submit a written description of the offensive behavior and the circumstances surrounding it to the party responsible for overseeing investigation of the complaint (Personnel Director if classified staff). Upon receipt of the written statement, the alleged offender should be provided with a copy of the statement and identity of the party making the complaint.

Investigation

In cases of formal complaints against faculty members or contract or classified staff members, the appropriate vice president will request that an ad hoc committee composed of three members be appointed to investigate the allegations and to recommend sanctions, if any.

For allegations against faculty members, the three members of the committee will be selected from the academic faculty by the Faculty Senate, except when the complaint is brought by a student, one of the faculty members will be selected by the Vice President for Student Affairs.

For allegations against contract staff members, the committee will be composed of three contract staff members selected by the vice president with administrative responsibility for the accused staff member, except when the complaint is brought by a student, one of the contract staff members will be selected by the Vice President for Student Affairs.

For allegations against students, the investigation and determination of sanctions will be handled under the existing policies stated in the Student Handbook and procedures of the Student Affairs Office.

For allegations against classified staff, the committee will be composed of three employees selected by the vice president with administrative responsibility for the accused staff member, except when the complaint is brought by a student, one of the staff members will be selected by the Vice President for Student Affairs.

Members of the committee should meet to discuss the complaint. Unless the committee concludes that the complaint is without merit, the parties to the dispute should be invited to appear before the committee and to confront any adverse witnesses. The committee may conduct its own informal inquiry, call witnesses, and gather whatever information it deems necessary to assist it in reaching a determination as to the merits of the allegations. Once such a determination has been reached, it should be communicated in writing to both parties, along with a summary of the basis for the determination.

SANCTIONS

If a sanction is recommended against a faculty member or contract or classified staff member, the committee report and the recommendation for sanction will be sent to the appropriate vice president (and the Personnel Director, if classified). As in the procedures of consultation, the seriousness of the offense, the context in which the incident occurred, any mitigating or aggravating circumstances, and any history of past offenses of a related nature must be carefully considered in reaching an equitable recommendation.

Allegations Against Faculty: Sanctions may be taken up to and including termination of employment in accordance with University policy. Principles governing the imposition and appeal of minor and major sanctions are stipulated in the Policy Statements on Academic Freedom, Responsibility, Tenure, and Due Process.

Allegations Against Contract Staff Members: Sanctions may be taken up to and including termination of employment. If the individual wishes to appeal a sanction, the appeal should be directed to the President of the University.

Allegations Against Students: Sanctions may be taken up to and including expulsion from the University in accordance with policies stated in the Student Handbook. If the person to whom the sanction is applied wishes to appeal the decision, he or she may do so in accordance with the Joint Statement on Rights and Freedoms of Students.

Allegations Against Classified Staff: Sanctions may be taken up to and including termination of employment from the University in accordance with the Classified Staff Handbook. If the person to whom the sanction is applied wishes to appeal the decision, he or she may do so in accordance with the grievance and appeal procedures of the Classified Staff Handbook.

HARASSMENT RELATED TO RACE, SEX, SEXUAL ORIENTATION, RELIGION, NATIONAL ORIGIN, AGE, OR PHYSICAL CONDITION

Policy and Definition

Discriminatory, demeaning, or abusive behavior based on race, sex, sexual orientation, religion, national origin, age, or physical condition constitutes harassment when such behavior affects the conditions of an individual's employment or access to learning or interferes with an individual's work performance or creates an intimidating, hostile, or offensive University environment.

Guidelines and Procedures

Such harassment is subject to the same guidelines and procedures that apply to sexual harassment. As with sexual harassment, the following apply:

1. Initial emphasis is on the effort to resolve the problem and effect any necessary changes in behavior without more formal procedures.

2. The circumstances of the alleged offense, including any mitigating or aggravating factors, and the seeming intent of the behavior (and, if the allegation is sustained, any history of previous offenses of a related nature) will be carefully considered in determining the fact and the degree of seriousness of an offense.

3. Any imposition of sanctions on faculty members is subject to the processes and procedures of the Policy Statements on Academic Freedom, Responsibility, Tenure, Due Process and, on students, of the Joint Statement on the Rights and Freedoms of Students.

Sexist Language

It is not the intent of this policy to regard as harassment most of what ordinarily is meant by the term sexist language. The foregoing definitions, procedures, and sanctions do not apply to an individual's personal choice among conventions of language that fall within the broad and changing range of common English usage, for example, the generic use of "man," "mankind," or masculine pronouns.

Implementation and Amendment

Implementation

The University Policy Statement on Harassment shall become effective when approved by (1) the University Faculty Senate, (2) the University academic faculty, and (3) the University Board of Trustees.

Amendment

The University Policy Statement on Harassment may be amended by majority vote of (1) the University Faculty Senate, (2) the University academic faculty, and (3) the University Board of Trustees. Amendments may be initiated by the Faculty Senate, the academic faculty, or the Board of Trustees. Before voting upon a prepared amendment, at least 14 days notice shall be given in writing to the membership of the Faculty Senate, the academic faculty, and the Board of Trustees.

Resolution Concerning Nonsexist Language

As part of the University's ongoing commitment to speaking and writing effectively and of our general goal of promoting social equality, members of the University community should avoid linguistic practices that may be construed as undermining equality.

Sexual Harassment (2)

POLICY STATEMENT

The College community will not tolerate any behavior by an administrator, supervisor, faculty, staff member, or student that creates an unacceptable employment or educational environment. Sexual harassment subverts the mission of the College and threatens the careers, educational experience, and well-being of students, faculty, and staff. Violations of this policy constitute grave misconduct and may lead to disciplinary action to include suspension or termination. The College is committed to maintaining a working and educational environment free of inappropriate or disrespectful conduct.

DEFINITION

For the purposes of this policy, sexual harassment is identified as unwelcomed advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when one of the following occurs:

1. Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment or educational experience.

2. Submission to or rejection of such conduct is used as a basis or an employment or educational decision affecting an individual.

3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or educational performance or of creating an intimidating, hostile, or offensive environment for working or earning.

RECOGNIZING SEXUAL HARASSMENT

Sexual harassment encompasses any sexual attention that is unwanted. When it occurs in the work place or in the classroom, sexual harassment can threaten a person's economic livelihood and academic status. Sexual harassment takes many different forms. Examples of sexual harassment include, but are not limited to the following:

- Verbal: sexual innuendoes, suggestive comments, insults, humor, and jokes about sex or gender-specific traits; sexual propositions; threats
- Nonverbal: suggestive or insulting sounds, leering, whistling, obscene gestures, display of graphic materials having a sexual orientation
- Physical: pinching, touching, or brushing the body; coerced sexual intercourse; assault

PROCEDURES

Because of the private nature of most sexual harassment incidents and the emotional and moral complexities surrounding such issues, every effort should be made to allow for an informal resolution of harassment concerns while protecting confidentiality and ensuring due process for both sides.

Recommended Actions

To maintain an environment free of sexual harassment, employees and students should confront it and report it when it occurs. Any person who believes he or she has been subjected to sexual harassment in any form, is encouraged to take the following action:

1. In circumstances where one does not think one's personal safety will be jeopardized, communicate clearly to the offender that the behavior is not welcomed and should cease immediately.

2. Discuss one's concerns with the Affirmative Action Officer or other appropriate support person in an effort to resolve the problem informally.

3. Consider the option of choosing a third party mediator to help resolve the complaint.

4. Should mediation efforts not be initiated, or if they fail, file a formal complaint with the Personnel/Affirmative Action Office.

5. If a satisfactory resolution is still not achieved after filing a formal complaint, proceed directly to the EEOC (Equal Employment Opportunity Commission).

Informal Complaint

At the complainant's option, a complaint that one or more provisions of this policy have been violated may be brought to any appropriate member of the College community, including any academic or administrative office of the College.

The person to whom the complaint is brought will counsel the complainant as to the options available under this policy and, at the complainant's request, may (1) help the complainant resolve the complaint formally and/or (2) help the complainant draft a formal complaint if the complainant decides to follow that route.

The person to whom the informal complaint is brought will not inform the accused of the complainant's actions without the consent of complainant unless complainant chooses to resolve the complaint through mediation or unless complainant files a formal complaint as hereinafter provided.

Mediation

In the event the complainant chooses mediation as the method of resolving the complaint, the Personnel/Affirmative Action Officer shall, after consultation with the complainant and with the alleged offender, select a third-party mediator from the campus community who has skills to deal effectively with the situation. Mediation activities shall continue for no more than 30 days. A record of mediation efforts will be kept in a separate file in the Personnel/Affirmative Action Office.

Investigation Prior to Formal Action

A complainant wishing to make a formal complaint and have it pursued should file it with the Personnel/Affirmative Action Office, which will consult with the appropriate administrative officer to determine the method by which the investigation will be conducted. The Personnel/Affirmative Action Officer will oversee the investigation.

The purpose of the investigation is to establish whether there is a reasonable basis for believing that the alleged violation of this policy has occurred. In conducting the investigation, the appropriate administrator may interview the complainant, the accused, and other persons believed to have pertinent factual knowledge. At all times, the administrator conducting the investigation will take steps to ensure confidentiality.

The investigation will afford the accused a full opportunity to respond to the allegations.

Possible outcomes of the investigation are (1) a judgment that the allegations are not warranted, (2) a negotiated settlement of the complaint, or (3) institution of formal action described in succeeding sections of this policy.

Process of Taking Formal Action

If after reviewing the report of the investigation, the appropriate administrative official concludes that there is a reasonable basis for believing that the alleged violation of this policy has occurred and a negotiated or mediated settlement cannot be reached, formal disciplinary action will be taken against the alleged offender in accordance with the College disciplinary procedures applicable to the offender.

The decision to take formal action will be made by one of the following:

- The Academic Vice President or that person's designee if a faculty member or other academic staff personnel has been charged
- The Financial Vice President or that person's designee if a staff member in Financial Affairs has been charged
- The Director of Athletics or that person's designee if a staff member of the Athletic Department has been charged

Protecting Both Parties

Investigations of complaints will be initiated only with the complainant's consent. The filing of a formal complaint with the Personnel/Affirmative Action Office will, by itself, constitute consent. The complainant will be informed fully of steps taken during the investigation.

All reasonable action will be taken to assure that the complainant and those testifying on behalf of the complainant or supporting the complainant in other ways will suffer no retaliation as the result of their activities in regard to the process.

At the time the investigation of a formal complaint commences, the accused will be informed of the allegations and the identity of the complainant.

In the event the allegations are not substantiated, all reasonable steps will be taken to restore the reputation of the accused if it was damaged by the proceeding.

A complaint found to have been intentionally dishonest in making the allegations or to have been made maliciously is subject to College discipline.

To the extent possible, the proceedings will be conducted in a way calculated to protect the confidentiality interests of both parties.

After the investigation, the parties will be informed of the facts developed in the course of the investigation.

The parties will be informed promptly about the outcome of the proceedings.

SANCTIONS

If, after appropriate review, a party is found to have been guilty of a violation of the sexual harassment and consensual relationships policy, disciplinary action against the offender will be commensurate with the scope and severity of the occurrence and may include, but is not limited to, warnings, reprimands, suspension, expulsion, demotion, or dismissal. Every effort will be made to provide prompt relief for the victim.

If there are reasonable grounds to believe that any person has fabricated a complaint of sexual harassment against a College member, that person shall be subject to disciplinary action in accordance with the regular College disciplinary procedures applicable to such person.

If, after appropriate review, a person is found to have been guilty of fabricating a complaint of sexual harassment, such person shall be subject to the sanctions set forth above.

EDUCATIONAL PROGRAMS

Educational programs to heighten sensitivity to the nature of sexual harassment are essential to the establishment of a campus environment that is free from sexual harassment.

The College's educational efforts are designed to:

- make widely known the prohibitions against sexual harassment,
- ensure that all individuals are aware of their rights, and
- sensitize all individuals to the problems of sexual harassment.

Smoking (1)

BACKGROUND AND PURPOSE

The U.S. Surgeon General has named smoking "Public Health Enemy No. 1" in light of its role as the leading cause of premature death and disability in our country. Research has shown that nonsmokers with chronic heart or lung disease can experience severe distress when exposed to sufficient concentrations of secondhand smoke. Many allergic individuals and even the majority of healthy nonsmokers report discomfort when exposed to secondhand smoke on the job. Furthermore, recent medical studies indicate that long-term exposure to involuntary smoking may increase nonsmokers' risks of developing severe lung disease.

In response to these hazards, governmental units, as well as public and private institutions, have initiated ordinances or guidelines that regulate smoking. As an institution of higher learning, the College perceives that it has special obligations to be a leader in this area.

The College is dedicated to providing a healthy, comfortable, and productive environment in which to study and work. This goal can be achieved only through ongoing efforts of all members of the campus community. As a follow up to an all-campus survey, the College has adopted the following policy: Effective January 1, 1990, smoking is prohibited throughout campus buildings except in designated smoking areas identified by "Smoking Permitted" signs.

While the College is sensitive to the needs of its community members who smoke, it also is aware of the rights of nonsmokers. The underlying assumption is that the College intends to move as deliberately as possible

toward a smoke-free environment. For instance, if the faculty and staff members in any building unanimously vote that building smoke free, it will thereafter remain smoke free.

DESIGNATION OF SMOKING-PERMITTED AREAS

In the meantime, smoking-permitted areas will be designated only on request. Locations that may be considered for designation as smoking permitted include areas that are not used by nonsmokers, as well as up to one-fourth of the seating in the dining areas. Individual residence hall rooms and private offices may be designated smoking permitted or no smoking by the occupant. However, the occupant should refrain from smoking in his or her office when a nonsmoking visitor is present.

Smoking will not be permitted in the following locations:

- Any area in which a fire or safety hazard exists, including college-owned vehicles
- Common areas, including elevators, stairwells, lobbies, gymnasiums, waiting rooms, copier rooms, computer rooms, mail rooms, auditoriums, reception areas, and rest rooms
- Areas in which smokers and nonsmokers work together
- Classrooms, laboratories, and conference rooms
- Buildings with shared air-ventilation systems

All requests for an area to be designated as a smoking-permitted area will be made to the vice president having major responsibility for the area. These requests will then be forwarded to the Smoking Policy Task Force for its decision. Any appeal of a decision made by the task force may be taken to the Office of the President.

ENFORCEMENT

The success of this policy will depend upon the thoughtfulness, consideration, and cooperation of smokers and nonsmokers. All students and employees share in the responsibility of adhering to and enforcing the policy. Any conflicts should be brought to the attention of the appropriate supervisory personnel and, if necessary, referred to the Office of the President for a final decision. In all cases, the right of a nonsmoker to protect his or her health and comfort will take precedence over a smoker's desire to smoke.

ASSISTANCE FOR SMOKERS

If you are a smoker and would like to receive assistance to quit smoking, please call the Health Center for information concerning available programs and materials.

The new smoking policy, which takes effect January 1, (enter year), will substantially limit smoking on our campus. Smoking will be permitted in areas identified by "Smoking Permitted" signs and in individual offices in nonshared air-ventilation systems.

For employees hired before January 1, (enter year), smoking also will be permitted in individual offices in shared air-ventilation buildings if the person in that office purchases at his or her expense an air filtration system that meets the following specifications:

- The purifier must have HEPA (high-efficiency particulate-arresting) filters made of densely packed fibers and pleated to increase their surface area.
- The purifier must filter at least 325 cubic feet of air per minute.
- The purifier must be in close proximity to the source of smoke.

We realize that this is not an inexpensive system, but we do believe that it provides an option for some of our staff members. The requirements are the result of meetings with a consulting engineer. The intent of the policy remains to provide a healthy environment for our students and employees, as well as to place the College on the path to becoming eventually a smoke-free campus.

Our Purchasing Office is willing to help individuals obtain the best possible price on a system that meets these specifications.

Smoking (2)

In accordance with Executive Order 92-2, the College has adopted this nonsmoking policy:

1. All buildings, owned or leased by the College, shall be designated as nonsmoking areas. This includes campus residence halls, lunchrooms, balconies, and off-campus work locations.

2. Areas that are exempt from this policy include off-campus buildings, owned or leased by the College, that are used solely as private residences.

3. Individuals who fail to abide by the provisions of this policy will be referred to the Vice President of Student Development if students, or to their immediate supervisor if faculty or staff, for disciplinary action.

Termination of Employment (see also **Discipline**)

TERMINATION PROCEDURES

If you wish to voluntarily terminate your employment with the College, you may do so by written notification to your supervisor. This notification is to be presented at least two weeks prior to the date of termination.

Upon terminating employment with the College, the Payroll Department will withhold your final paycheck until you have turned in to your immediate supervisor all college keys, ID cards, and uniforms you may have in your possession.

A termination form is necessary for terminating employment and may be obtained by the department head from the Payroll Supervisor in the Finance Office.

You will be paid for vacation time accrued up to the last day of work at the College.

DISMISSAL

Before discharging an employee, the department head will communicate dissatisfactions with the employee. Conferences with new employees are encouraged during the probationary period. If discharge is deemed necessary, the employee must be told the reason.

The following procedures must be followed by the department head prior to a dismissal:

1. The employee must be advised of the deficiencies in at least two conferences. The department head must keep on file written records of the deficiency interviews indicating the time and date such interviews take place.

2. The vice president in whose area the employee works must be notified.

3. The Personnel Office must be advised of the supervisor's intention to discharge the employee.

4. Employees must be given a two-week notice of termination or two weeks' pay in lieu of notice except as cited below under causes for immediate termination.

Valid reasons for termination may include, but are not limited to the following:

1. Unsatisfactory job performance

2. Repeated absences without notification

3. Excessive tardiness

4. Failure by hourly paid employees to record their in and out times

5. Leaving the job without the supervisor's permission

6. Failure to observe College regulations

7. Inability to pass a physical examination

8. Abuse of College sick leave and short-term disability program

9. Repeated use of obscene language

10. Abandonment of job or three consecutive unexcused or unauthorized absences

Causes for immediate termination (two-week notice not required) include, but are not limited to the following:

1. Substance abuse or the use, possession, manufacture, or distribution of illegal drugs on College property
2. Theft or malicious damage to College property or physical abuse to another employee
3. Illegal gambling on College property
4. Insubordination
5. Fighting on College property
6. Sexual harassment
7. Falsification of employment record

In all cases, a written record of the termination must be made in the employee's personnel file.

Weather Conditions

The College distinguishes between (1) canceling classes and (2) closing offices of the College. On most occasions when severe weather causes a change in our schedule, it requires us only to cancel classes, not to close offices of the College.

CANCELING CLASSES

Since a large number of our students commute to the College, it may become necessary on occasion to cancel classes due to weather conditions. On such days, individuals who are employed in the administration and staff will continue their responsibilities. The service of some offices are needed more than ever on occasions when classes are canceled because approximately 1,600 residential students are still on campus. This work, therefore, will continue on those days.

Faculty and students should assume that classes are normally held at the time in which they are regularly scheduled. However, the decision to cancel classes will be made at the earliest feasible time. In terms of weekend classes, whenever possible the decision will be made in the late afternoon or early evening of the preceding day. If cancellation is necessary, hall directors and the College Telephone Operator will be informed as well as the media.

To find out if classes are canceled due to weather conditions, phone the College information line. Local radio and TV stations also carry our closings. Please remember: The public media information refers only to classes being canceled. Members of the administration and staff should still report to work.

If classes are not canceled, students commuting from long distances are urged not to take unnecessary risks at times when road conditions are hazardous. Students who are absent for this reason should inform their professors of the reason for the absence at the next class session.

A faculty member should not cancel classes unilaterally. Many students often make unusual efforts to reach their classes. Every effort, therefore, should be made by the faculty member to use the class time in an educational and valuable manner for the students who are present.

CLOSING OFFICES OF THE COLLEGE

On rare occasions, weather conditions are severe enough to require offices of the College to be closed. When this is the case, administrative and staff members are not expected to be at work except for those areas where work is required for the safety of individuals or the protection of properties. Your immediate supervisor will inform you by phone or in person when offices of the College are closed. Persons who are asked to work and who are able to work on those days will be given extra compensation or compensatory time.

PURCHASING AND GENERAL SERVICES

Introduction

This section deals with the acquisition of goods and services from outside suppliers or from institutional service departments. One responsibility of the college or university business officer is to provide for such acquisitions in an effective and efficient manner. Business officers should create and operate an acquisition system that faculty and others in the institution can rely upon without question, so that they can devote their time and attention to their own primary duties.

Two comprehensive statements on procurement comprise a significant portion of this section. Taken from two institutions with centralized purchasing departments, they provide a thorough and integrated view of the purchasing function. The degree of centralization of purchasing responsibilities varies widely among colleges and universities. Regardless of the degree of centralization, however, each institution must give attention to the topics contained in these sections. The institution can establish policies and procedures that are campuswide, even if the responsibilities for carrying them out are decentralized.

Both statements make clear that the primary goal of the procurement function is to obtain the optimal mix of acceptable quality, service, price, and terms, while minimizing acquisition effort and cost. Obviously the degree of attention given to an order or contract varies with its total dollar value. The statements deal with the importance of supplier contacts and relationships, and with the ethics involved in these. They stress the role of competition and the need to continuously identify new sources of supply. They also cover the different types of orders and contracts that may be utilized and the legal aspects of each, as well as related procedural matters.

Some types of procurement are highly specialized or unique. So, this section also includes topics such as the handling of air travel reservations, the use of credit cards for travel, payments to independent contractors, mail services, printing and graphics services, telecommunications, and vehicles. Some of these topics may involve institutional service departments as well as outside suppliers. Examples of service departments may be a campus print shop or motor pool. The institution will have a central telecommunications center and may own its own telephone switching equipment. Most institutions also operate their own campus mail distribution system.

Other topics covered deal with safety or legal requirements. The handling of hazardous materials and waste must meet stringent federal, state, and local laws, and the institution must obtain and post material safety data sheets provided by chemical suppliers. Individuals making photocopies of published materials must be aware of copyright restrictions. Records management is influenced by the legal need to retain business documents for specified periods. Finally, trustees and employees must avoid conflicts of interest in their dealings on behalf of the institution.

The common theme in all of the material of this section is the effective and efficient acquisition of the goods and services needed for the college or university to carry out its educational mission.

Air Travel Reservations

When contacting the travel agency of your choice, identify yourself as a College employee traveling on College business and that the tickets are to be charged to the College account.

Mail the completed air travel reservation form to the Purchasing Department as soon as you complete your contact with the travel agent. Note: No tickets will be released unless the associated reservation form is on file.

Tickets will be delivered to Purchasing and you will be notified for pickup. The person picking up the ticket(s) will be asked to sign a copy of the travel itinerary sheet accompanying the ticket(s) and boarding pass(es). The signature documents receipt of tickets and authorizes payment.

Please give the travel agency as much notice as possible, so that any potential discounted fare may be obtained. In order to do this, the agencies will attempt to match any flexibility in your schedule to optimum rates available whenever feasible.

Airline tickets for spouses accompanying employees traveling on College business may be reserved at the same time. (Separate form is required.) These tickets will be temporarily charged to the College against a special accounting code. Reimbursement for the spouse's ticket amount should be made at the time the ticket(s) is picked up. (Purchasing will provide assistance with these arrangements.)

All unused tickets or refunds should be channeled back through the Purchasing Department to ensure proper refund credit is received by the College.

Hotel and car rental reservations may be made at the time air-travel arrangements are made. The agencies will do this for you, or you may make them directly. Whether you are booking under a conference rate or not, a personal credit card number will be necessary to hold your reservation. You may wish to advise the travel agent of any special conference rates indicated for airfare and hotel accommodations. (Provide group conference identification code and/or the airfare file number.) In many cases, the agent can secure the conference rate, or possibly lower rate(s), for you. The method of your actual payment (personal credit card or cash) may be determined at the time of hotel registration and vehicle pickup.

Air Travel Reservation Form

Passenger: Name_____Department_____

Date Reservation Made_____Campus Phone #_____Home Phone #_____

College-Related Activity (Conference, Seminar, Professional Meeting, Etc.)

_____

Destination (City) Location:_____

TRAVEL AGENCY USED:
_____Company A
_____Company B
_____Company C
_____Company D

DEPARTURE FLIGHT INFORMATION:
Date_____ Carrier_____ Time_____ Flight #_____

RETURN FLIGHT INFORMATION:
Date_____ Carrier_____ Time_____ Flight #_____

Round Trip Fare Quoted: $_____By:_____(Name Of Agency's Rep)

College Account Number To Be Charged:_____

Special Instructions, Information or Comments:_____ _____
_____
_____

HOTEL RESERVATION SERVICE:
Offered? (Yes_____ No_____) Placed through Agency? (Yes_____ No_____)

CAR RENTAL RESERVATION SERVICE:
Offered? (Yes_____ No _____) Placed Through Agency? (Yes_____ No_____)

Please Note: When making reservations, please complete the form as you finalize your schedule/arrangements; all pertinent information should be entered.

An individual form is required for each person and trip (except group travel).

Bids and Quotations

POLICY STATEMENT

It is the University's policy to obtain competitive bids and price quotations whenever practical on all purchased items. This is accomplished by negotiating pricing agreements, soliciting requests for proposals, and formal bidding procedures. Requests to vendors are conducted in a manner that provides, to the maximum extent possible, open and free competition.

All vendor bids and quotations are evaluated on the basis of product quality, technical compliance with specifications, total cost, and the vendor's acceptance of the University's terms and conditions. A vendor award will be made in the best interest of the University based on these criteria. Any and all bids and quotations may be rejected when it is in the University's best interest to do so.

Prices secured on bids and quotations are considered confidential and should not be discussed with vendors by University personnel.

FORMAL COMPETITIVE BIDDING

All purchase requisitions for material and equipment purchases with an aggregate value of $2500 or more are required to be competitively bid ($500 or more for printing and other graphic arts services. Exceptions to this requirement are items covered under Purchasing Department pricing agreements. However, the Purchasing Department is authorized to require more than one bid for purchases with an aggregate value of less than $2500 if in its judgment cost savings may be realized or other University objectives accomplished.

Solicitation of competitive quotations is the responsibility of the Purchasing Department and is based on a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such a description should not, in competitive procurement, contain features that unduly restrict competition. It is recognized and encouraged that highly technical equipment purchases will require the direct participation of the requisitioner and possibly others, such as department administrator, University counsel and engineers, to ensure that the item purchased is as the requisitioner requires and that such items as transit insurance, warranties, installation, transportation, etc., are adequately covered. Purchasing will be responsible for determining that prudent procurement practices are followed and documented. All such documentation will be retained in the Purchasing Department. Bids should be requested from at least three vendors, whenever possible, which are qualified or can be qualified to meet all specifications and requirements. The exception to this requirement are purchases from sole or single source vendors. Purchase requisitions in this case must be accompanied by a Bid Waiver Justification Letter to be approved by the Purchasing Department. See section III, Sole or Single Source Purchases.

SOLE OR SINGLE SOURCE PURCHASES

Definitions

1. Sole Source Vendor—The vendor is the only vendor in the world who sells the particular item requested.
2. Single Source Vendor—The item may be available from multiple vendors, but only the requested vendor is acceptable for technical or other reasons, including but not necessarily limited to the following:
    - Repair or replacement parts
    - Equipment compatible with other equipment currently in use in the department
    - Supplementary components of the same manufacturer
    - Unique manufacture features essential to the intended application
    - Compliance with the University's standard programs
    - Necessary to meet physical design

Bid Waiver Justification Letter

If the requisitioning department has researched the market and the suggested vendor is a sole or single source, then a Bid Waiver Justification Letter must accompany the purchase requisition for a purchase of $2,500 or greater. This memorandum from the requesting department should document the reason(s) for restricting the purchase to a particular vendor or brand based on the above definitions.

University guidelines and all federally sponsored grants and contracts require some form of written competitive bid or an acceptable Bid Waiver Justification Letter if bidding is to be waived.

EVALUATION OF PROPOSALS AND SELECTION OF VENDOR

The evaluation of bids and proposals and ultimately the vendor award are based on a number of criteria. These include product quality, the vendor's compliance with University specifications, total cost, delivery requirements, vendor service capabilities, product warranties, the vendor's financial stability, the vendor's acceptance of the University's terms and conditions, and any other relevant factors that should be considered.

A vendor award will be made in the best interest of the University based on the criteria listed above and any other factors that should be considered. When formal bids are received, evaluated and analyzed, and all things being equal, the low bidder shall be awarded the contract. If other than low bidder is selected, the Buyer must provide written documentation for the decision. The Buyer will assure that the documentation of the data required to support the award is proper and complete. All documentation will become a part of the permanent file.

The University reserves the right to reject any and all bids when it is in its best interest to do so.

The Purchasing Department will notify the successful vendor and issue a purchase order. The decision to notify unsuccessful vendors is to be made by the Buyer and/or Purchasing Management.

Conflict of Interest (1)

SCOPE

The following statement of policy applies to all trustees and officers of the College. Further, it is intended to serve as a guide to all persons employed by the College, regardless of position.

FIDUCIARY RESPONSIBILITY

Trustees, officers, and staff serve a public-interest role and thus have a clear obligation to conduct the business of the College in a manner consistent with that concept. All decisions of the Board and administration of the College shall be made solely on the basis of a desire to promote the best interests of the College.

DISCLOSURE

It is the policy of the College's Board of Trustees that if the Board and/or officers of the college are considering a transaction on behalf of the College which will also involve (1) a member of the Board, an officer of the College, or a member of their families (spouse, parents, brothers, sisters, or lineal descendants), or (2) an organization with which any such person is affiliated (as described below), then such trustee or officer, at first knowledge of any such transaction, shall disclose fully the precise nature of his or her interest or involvement.

Disclosure is also required concerning all relationships and business affiliations that reasonably could give rise to a conflict of interest involving the College. Such disclosure shall be continuously reported and kept current, as set forth below. For the purpose of this policy statement, affiliation exists if a trustee, officer, or a member of their families

1. is an officer, director, trustee, partner, employee, or agent of such organization;

2. is the record or beneficial owner of more than 5 percent of the voting stock or otherwise has a controlling interest in such organization; or

3. has any other direct or indirect dealings with such organization from which he or she knowingly is materially benefited (e.g., through receipt directly or indirectly of cash or other property in excess of $1,000 per year, exclusive of dividends and interest).

The disclosures required under this policy statement shall be reported initially to a subcommittee of the Audit Committee, which consists of trustees who are not officers of the College nor involved in any conflict of interest. The information disclosed shall be held in confidence except when, in the judgment of the Audit

Committee, the best interests of the College would be served by disclosing the information to the Board of Trustees or to the Executive Committee.

The subcommittee, on its own initiative or at the request of anyone with a potential conflict of interest, shall determine whether a conflict of interest exists and, if unacceptable, recommend a course of action to resolve the matter.

RESTRAINT ON PARTICIPATION

Trustees and officers who are deemed to be in a conflict-of-interest situation with respect to any matter before the administration or the Board shall refrain from participating in the consideration of the proposed transaction, unless specifically requested to provide information regarding the transaction in question. Such person shall not vote on or take any position for or against the proposed transaction. When deemed appropriate, a notation may be made in the minutes of the meeting that the person involved neither participated in the consideration of the proposed transaction nor voted on the matter.

Audit Committee
The College
College Town, Ohio

In re: Conflict of Interest Disclosure Statement

I have received and read the College's Conflict of Interest Policy approved by the Board of Trustees on May 31, 1994, and I am in compliance with that policy statement, except as set forth on the reverse side.

Except as noted, neither I nor, to the best of my knowledge, any member of my immediate family has any interest or is engaged in any activity that might be interpreted as a violation of the policy statement.

I understand that, unless and until I am advised in writing to the contrary, any interest or activity reported herein shall not constitute a violation of the Conflict of Interest Policy of the College.

Signature: _____

Name: _____

Address: _____

Office or Position: _____

Please return to:

President's Office
The College
College Town, Ohio

Conflict of Interest (2)

A trustee shall be considered to have a conflict of interest if (1) such trustee has existing or potential financial or other interests that impair or might reasonably appear to impair such member's independent, unbiased judgment in the discharge of his or her responsibilities to the College or (2) such trustee is aware that a member of his or her family (which for purposes herein shall be a spouse, parents, siblings, children, and any other relative if the latter reside in the same household as the trustee), or any organization in which such trustee (or member of his or her family) is an officer, director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests. All trustees shall disclose to the Board any possible conflict of interest at the earliest practical time. No trustee shall vote on any matter under consideration at a Board or committee meeting in which such trustee has a conflict of interest. The minutes of such meeting shall reflect that a disclosure was made and that the trustee having a conflict of interest abstained from voting. Any trustee who is uncertain whether a conflict of interest may exist in any matter may request the Board or committee to resolve the questions by a majority vote.

I have received and read the foregoing Conflict of Interest Policy and understand fully the requirements thereof.

Date_____ Name_____

(Please Print)

Signature_____

Copying and Copyrights (1)

Copyright permission research will be done by Administrative Services upon receipt of the necessary information pertaining to the article, work, etc. Copyright forms are available in the Administrative Services Office. These forms provide specific information that publishers use in determining permission grants.

For more information on copyright permissions, refer to the following guidelines for the photocopying of copyrighted materials for use in teaching and research. Administrative Services will also make determinations about fair use on specific items. Please provide two weeks' advance notice to allow for publisher delay.

Generally speaking, royalty fees are not budgeted by individual departments. There are no institutional funds allocated for this purpose. Therefore, faculty who make extensive use of duplicated material in their classes should make every effort to collect these materials into anthologies before the start of the semester, secure copyright permissions, reproduce the materials through Central Duplicating, and distribute them to students through the Campus Bookstore. Students will be charged for the cost of duplication and copyright.

GUIDELINES FOR THE PHOTOCOPYING OF COPYRIGHTED MATERIALS FOR USE IN TEACHING AND RESEARCH

On January 1, 1978, a complex U.S. copyright law went into effect. One portion of that law authorizes those engaged in teaching and research to reproduce some copyrighted works without paying royalties or securing permission. However, that part of the law is expressed in such general terms that more explicit guidance is necessary. Recent litigation has emphasized the need for more specific regulations concerning the application of the "fair use" provisions in the copyright law to the reproduction of copyrighted materials for classroom use. The guidelines that follow are an attempt to establish procedures for the College whereby the reproduction of copyrighted materials for classroom use can take place without risk of violating the provisions of the copyright law.

Purpose

The purpose of this policy is to ensure compliance by all College departments with federal laws and regulations governing the reproduction of copyrighted materials.

General Policy

It is the policy of the College to be in compliance with all laws and regulations governing the use of copyrighted materials. Copyright permission must be properly obtained in order to make copies of copyrighted material. Departments and individuals acting within the scope of their authority as employees and faculty of the College may make "fair use" copies as defined herein.

The Provost's Office is charged with enforcing this policy.

Obtaining Copyright Permission

Individuals and departments may write to the publishers of copyrighted works to obtain permission to make copies of the material in question. The Administrative Services Department will assist individuals and departments in this effort and will maintain a file of copyright permissions for reproduction and use of copyrighted material. Central Duplicating, Audiovisual Services, and the Quick Copy Center will not make copies of copyrighted items without a copy of the written authorization of the author or publisher to make said

copies.

Procedures

To obtain permission to reproduce copyrighted materials, the following information should be provided in a letter sent, with a self-addressed return envelope, to the permissions department of the publisher in question:

1. Title, author and/or editor, and edition of materials to be duplicated
2. Exact material to be used, including amount, page numbers, chapters and, if possible, a photocopy of the material
3. Number of copies to be made
4. Use to be made of duplicated materials and duration
5. Form of distribution
6. Whether or not the material is to be sold
7. Type of reprint (e.g., ditto, photo, offset, typeset)

Fair Use

Generally, the owner of a copyright has the exclusive right to reproduce the work, prepare derivative works, distribute copies, perform the work, and display the work. Engaging in any of these acts without the copyright owner's permission constitutes prohibited infringement of the copyright, unless the act falls within one of the legal exceptions to the grant of exclusive rights.

One such exception is the doctrine of "fair use," which attempts to balance protection of the copyright owner's rights with the public interest in dissemination of information. The statute sets forth four factors that must be considered in determining "fair use" in a particular case:

1. The purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes
2. The nature of the copyrighted work
3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole
4. The effect of the use upon the potential market for or value of the copyrighted work

The Agreement on Guidelines for Classroom Copying in Not-For-Profit Educational Institutions with Respect to Books and Periodicals ("Agreement on Guidelines") has been the framework for analysis of fair-use issues. The Agreement on Guidelines was intended to state the minimum standards of educational fair use.

The Agreement on Guidelines applies to copying of books and periodicals. Fair-use guidelines have also been developed for educational uses of music and for off-air recording of broadcast programming for educational purposes. In addition to the fair-use exception, the copyright law contains specific provisions governing libraries, public performances, videotapes, commercial software, and so forth.

AGREEMENT ON GUIDELINES FOR CLASSROOM COPYING IN NOT-FOR-PROFIT EDUCATIONAL INSTITUTIONS: WITH RESPECT TO BOOKS AND PERIODICALS [MARCH 19, 1976]

The purpose of the following guidelines is to state the minimum standards of educational fair use under section 107 of H.R. 2223. The parties agree that the conditions determining the extent of permissible copying for educational purposes may change in the future; that certain types of copying permitted under these guidelines may not be permissible in the future; and conversely, that in the future other types of copying not permitted under these guidelines may be permissible under revised guidelines.

Moreover, the following statement of the guidelines is not intended to limit the types of copying permitted under the standards of fair use under judicial decision, which are stated in section 107 of the Copyright Revision Bill [subsequently enacted as 17 U.S.C. §107]. There may be instances in which copying that does not fall within the guidelines stated below may nonetheless be permitted under the criteria of fair use.

Guidelines

I. Single Copying for Teachers

A single copy may be made of any of the following by or for a teacher at his or her individual request for his or her scholarly researcher use in teaching or preparing to teach a class:

A. A chapter from a book

B. An article from a periodical or newspaper

C. A short story, short essay, or short poem, whether or not from a collective work

D. A chart, graph, diagram, drawing, cartoon, or picture from a book, periodical, or newspaper

II. Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion, provided that—

A. the copying meets the tests of brevity and spontaneity as defined below,

B. the copying meets the cumulative-effect test as defined below, and

C. each copy includes a notice of copyright.

Definitions

Brevity

(i) Poetry: (a) A complete poem if less than 250 words and if printed on no more than two pages or (b) from a longer poem, an excerpt of no more than 250 words.

(ii) Prose: (a) Either a complete article, story, or essay of less than 2,500 words or (b) an excerpt from any prose work of no more than 1,000 words or 10 percent of the work, whichever is less, but in any event a minimum of 500 words.

[Each of the numerical limits stated in (i) and (ii) above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.]

(iii) Illustration: One chart, graph, diagram, drawing, cartoon, or picture per book or per periodical issue.

(iv) "Special" works: Certain works in poetry, prose, or in "poetic prose" that often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 words in their entirety; paragraph (ii) above notwithstanding, such "special" works may not be reproduced in their entirety: however, an excerpt comprising no more than two of the published pages of such special work and containing no more than 10 percent of the words found in the text thereof may be reproduced.

Spontaneity

(i) The copying is at the instance and inspiration of the individual teacher and

(ii) The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect

(i) The copying of the material is for only one course in the school in which the copies are made.

(ii) No more than one short poem, article, story, essay, or two excerpts may be copied from the same author, and no more than three from the same collective work or periodical volume during one class term.

(iii) There shall not be more than nine instances of such multiple copying for one course during one class term.

[The limitations stated in (ii) and (iii) above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.]

III. Prohibitions as to I and II Above

Notwithstanding any of the above, the following shall be prohibited:

A. Copying shall not be used to create or to replace or substitute for anthologies, compilations, or collective works. Such replacement or substitution may occur whether copies of various works of excerpts therefrom are accumulated or reproduced and used separately.

B. There shall be no copying of or from works intended to be "consumable" in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets, and like consumable material.

C. Copying shall not—

(a) be substituted for the purchase of books, publishers' reprints, or periodicals;

(b) be directed by higher authority; or

(c) be reprinted with respect to the same item by the same teacher from term to term.

(d) No charge shall be made to the student beyond the actual cost of the photocopying.

Copying and Copyrights (2)

COPYING

Copying machines are located in various campus locations for official College use by employees. Copying machines not operated by auditron keys may be used for personal copying on a per-page charge basis.

An auditron key is used to activate the copying machines located on the first floor of the Administration Building and in the Center Building. (These machines are provided by Printing and Graphics.) Use of an auditron key by a student or employee requires the express consent of the department head or administrator responsible for the auditron key.

Copy work must be related to departmental activity and no personal copy work is permitted with these copiers. Any questions on the nature of the copying work or on possible violations of the copyright laws are referred to the department head or administrator for clarification.

Mass Copying

Copying machines are intended only for the production of a limited number of copies, in most cases, not more than 20 copies from one master copy. If more than 20 copies are desired, a "quick copy" order should be placed with Printing and Graphics, located in the basement area of the Center Building.

Employees with a large amount of copying work should yield the use of the copying machine to those with short runs, as a matter of courtesy.

Copyright Infringement

The reproduction of published works or printed matter in violation of the copyright laws is strictly forbidden beyond what is historically and legally considered as fair use and may place the user and the College in legal jeopardy. The fair-use principle means the extent that copyrighted material may be copied without the permission of the copyright owner and encompasses four conditions or tests:

1. The use to be made of copies
2. The nature of the copyrighted work
3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole
4. The effect of the use upon the potential market for or value of the copyrighted work

The following are examples of what does, or does not, constitute fair use:

1. Fair use applies only to reproduction for such purposes as criticism, comment, news reporting, teaching, scholarship, or research.
2. The fact that copying is for nonprofit use has no bearing on the question of fair use.
3. Copying portions of a news article may be fair use, but not copying from a workbook designed for a course of study.
4. Photocopying or duplicating by an individual for his/her personal use, as long as it is in a single copy of an article, short poem, or small portion of the work as a whole, is generally considered fair use.
5. Copying the whole of a work cannot be considered fair use.
6. Fair use would allow teachers, acting on their own, to copy small portions of a work for the classroom, but would not allow the College to do so.
7. Systematic duplication, whether making multiple copies at one time or single copies that in the aggregate add up to multiple ones, is not considered fair use.
8. If resulting economic loss to the copyright owner can be shown, even making a single copy of certain materials may be a violation.

Credit Cards for Travel

The issuance of College credit cards is limited to the President, the Secretary of the College, Resources, Admissions, and, as necessary, to other departments or individuals whose job duties require extensive travel. Requests for a College credit card should be submitted to the Treasurer's Office.

College credit cards are not to be used for any personal expenses. Credit card company invoices are approved for payment by the Treasurer's Office. It is the responsibility of individual department heads to review for accuracy and propriety the detail of credit card charges allocated to the budgets. Problems and errors should be reported immediately to the Treasurer's Office.

The theft or loss of a College credit card should be reported by the cardholder immediately to the credit card company and then as soon as possible to the Treasurer's Office.

It is the responsibility of the department head to retrieve College credit card(s) from an individual in his/her department upon termination of employment or transfer to another department. The card should be forwarded to the Treasurer's Office.

On occasion, a College credit card for nontravel expenses may be approved for departmental use. The policies and procedures outlined above apply, except as arranged individually with the department.

A comprehensive list of College credit card account names and numbers is maintained by the Comptroller's Office.

Independent Contractor Payments

All payments to an individual for services rendered to the College must be paid through payroll unless the individual qualifies as an independent contractor. To qualify as an independent contractor, individuals must provide the College with their federal ID number and evidence that they are covered by Workers' Compensation. Contractors will need to invoice the College for their services. For payments to independent contractors, we report their income to the IRS on a 1099 form. Independent contractors are also required to pay self-employment and income taxes.

Honoraria may be used to pay a person who gives a one time talk or performance for a class at the College. Please make sure you include the person's Social Security number and address on the requisition.

All stipends for students working on research need to be paid through payroll.

Hazardous Materials and Waste (1)

The purchase of chemicals is handled by the individual departments in consultation with the University's Regulatory Compliance Specialist. All chemical purchases must include a request for a material safety data sheet (MSDS). The MSDS is required to be sent by the vendor to the buyer within 30 days of receipt of the chemical. The buyer must maintain a copy of each MSDS and must send a copy to the University's Regulatory Compliance Specialist.

All incoming chemicals must be properly labeled. Whenever a chemical is transferred from its original container, the new container is required to be properly labeled. Employee training is required by federal and state laws for all new chemical hazards introduced into the workplace. This training must be documented.

All disposal of hazardous and biohazardous waste is to be coordinated with the University's Regulatory Compliance Specialist.

Hazardous Materials and Waste (2)

The following information and guidelines for the handling, storing, and disposing of hazardous materials on the campus have been established to protect the health and ensure the safety of our college community, town residents, and surrounding residential communities.

The Occupational Safety and Health Act of 1970 (OSH Act) is the regulatory vehicle that ensures that the safety of workers, in firms larger than 10 employees, is addressed. It sets standards of safety that helps prevent injury or sickness among workers. The key factors of the OSH Act are regulating employee exposure and informing workers of the dangers of certain materials.

About 500,000 different chemical products are used in the workplace. Many of these chemicals can cause health effects if overexposure should occur. They also pose safety hazards and have the potential to cause fires, explosions, and other severe accidents.

Because of these potentially serious problems and because there was little information available from chemical manufacturers, the federal Occupational Safety and Health Administration (OSHA) legislated the Hazard Communication Standard (HCS). The HCS is more commonly referred to as the Right to Know Law. The Right to Know Law requires chemical manufacturers and importers to develop information on the possible hazards of their chemicals and provide that information on a form called a material safety data sheet (MSDS) to companies that buy their chemicals. MSDS provide information about the chemical substances within a product, safe handling procedures, first aid measures if exposed, and procedures to be taken when the product is accidentally released or spilled. MSDS's must be provided to employers and distributors with the initial shipments and with the first shipment after an MSDS is updated. If the chemical manufacturer or importer becomes aware of new important information regarding the hazards of a chemical, or ways to protect against hazards, this new information shall be added to the MSDS within three months. Distributors must provide an MSDS to their customers also.

Employers are required to have a Material Safety Data Sheet for each hazardous chemical they have on hand for current or anticipated future use. The sheets should be posted and identified. Two copies are requested from the supplier as copies of all MSDS's are centrally filed in the Purchasing Department. Also they are kept at the user locations where the chemical is being utilized, as copies must be maintained and readily accessible to employees during all work shifts. Along with the MSDS, manufacturers and importers of chemicals must also clearly list the hazards of their products on their container labels. Specific warnings must be used instead of general warnings (i.e., specific = "poisonous," general = "harmful if swallowed").

Chemical manufacturers, importers, and distributors must ensure that each container of hazardous chemical they sell is properly labeled. Labels must identify the hazardous chemical; list hazard warnings for employees; and list the name and address of the manufacturer. Employers are required to label small containers of chemicals and tanks in the workplace with the contents and some description of their hazards.

Many states have enacted their own versions of the Right-to-Know Law. At this time, the State has not enacted one. However, the College has taken on this responsibility and developed its procedure to ensure compliance with the federal program. For College-specific Right-to-Know information, please contact the Director of Buildings and Grounds.

The U.S. Nuclear Regulatory Commission has requirements for exclusive-use shipments of radioactive materials (i.e., Information Notice No. 80-32). Currently, these requirements are not applicable to the College.

The U.S. Environmental Protection Agency (EPA) focuses on pollution prevention. The Pollution Prevention Act of 1990 promotes an integrated environmental ethic stressing pollution prevention. The goal is to prevent pollution before it becomes a problem.

The State EPA is active in activities related to pollution prevention and waste minimization. Pollution prevention practice in the research and educational environment will develop an awareness of proper waste management. Research and educational institutions have unique waste-management problems. Waste volume is not large, but the diversity of waste is considerable. Differing wastes are generated in chemistry, biology, geology, physics, psychology, arts, printing, maintenance, custodial, and photography environments.

All hazardous-waste generators are responsible for the safe cradle-to-grave management of any hazardous waste they may generate. Many labs are reassessing existing chemical waste management to alleviate the consequences of disposal costs, aggressive enforcement, and future liability. The best way to manage the waste problem is to prevent waste where applicable. Some EPA waste-reducing practices are:

- Microscale experiments
- Increase use of instrumentation and alternative teaching methods (interactive-video chemistry labs)
- Substitute less toxic/hazardous compounds and/or use an entirely different experiment
- Eliminate waste during experiments (reuse material for other reactions)
- Pre-weigh chemicals
- Reuse or recycle spent solvent
- Onsite distillation and reuse
- Segregate waste streams
- Segregate precious metal wastes
- Provide a designated safe facility for waste storage
- Label incoming chemicals
- Maintain labels
- Develop a running inventory of unused reagent chemicals for use by other labs

The best way to manage hazardous material and hazardous waste is to prevent waste whenever possible.

Hazardous material and hazardous waste are defined as follows:

Hazardous Material: Any identified chemical capable of causing physical hazard (flammable or explosive) or a health hazard (irritant or corrosive) that is currently in use or stored for use within an appropriate/authorized period.

Hazardous Waste: A solid or liquid material that is intrinsically hazardous, or has become hazardous due to a combination of or use of hazardous material, and has been designated to be either thrown away or stored until quantity or time parameters require disposal. The State EPA considers waste hazardous if it has certain properties that could pose dangers to human health and the environment after it is discarded. The waste also possesses certain characteristics, such as: ignitability, corrosivity, reactivity, or toxicity.

You may generally be able to tell if waste is hazardous by reviewing its label, its Material Safety Data Sheet, or the EPA Hazardous Waste Regulations.

If you are uncertain about whether a waste product is hazardous, you may contact the State EPA Northeast District Office Hazardous Waste Unit for assistance.

The State's hazardous waste rules have differing requirements for the management of hazardous waste, which depends on the quantity of waste generated each calendar month. The College is a conditionally exempt small quantity generator (CESQG).

A conditionally exempt small quantity generator produces up to 220 pounds (100 kilograms) of hazardous waste or no more than 2.2 pounds of acutely hazardous waste per calendar month. CESQGs are exempt from most of the State's hazardous waste requirements. In order to remain a CESQG, however, we must continually determine whether our waste is hazardous, must never have more that 220 pounds of hazardous waste or 2.2 pounds of acutely hazardous waste on site at any time, and must ensure that all hazardous waste is delivered to a facility permitted to treat, store, or dispose of hazardous waste.

To ship hazardous waste off the premises, the waste must be packaged and labeled. The College contracts an outside source to analyze, certify, package, and label our drums and containers, as required by the U.S. Department of Transportation (USDOT). The contractor will transport the waste. Transporters must have State EPA and PUCO identification numbers. The waste is then shipped to a facility permitted or authorized by the State EPA to accept hazardous waste. A hazardous waste manifest must be used also.

The hazardous waste manifest is a special shipping paper that must be used for the shipping of hazardous waste. The manifest must accompany the waste wherever it goes. Each handler of the waste must sign the manifest and keep one copy. Once the waste reaches its destination, the owner of that facility returns a copy of the manifest to the College to confirm that the waste arrived. The College copy can be found in the Purchasing Department. Note: The College is responsible for the hazardous waste at all times until acceptance by the final disposal site organization. It is the responsibility of the Purchasing Department to make sure that the contractor establishes a complete documentation trail of all activities and complies with all regulations governing the hazardous waste handling, transport, and disposal. Purchasing is also responsible for making sure that the facility receiving the waste is properly permitted and complies with applicable standards for treatment, storage, and disposal of the hazardous waste.

About once every three years, the Purchasing Department goes out for proposals/quotations to at least three companies that remove hazardous waste. After Purchasing has received the proposals/quotations from the various companies, Purchasing evaluates them and makes a selection. The company that is selected will be responsible for identification, verification, packaging, transporting, and disposal of the waste.

Semi-annually (early May and November), the Purchasing Department sends out a memo for a campus-wide purge of all hazardous waste (sample copy attached). All potential generating departments are requested to identify and indicate the quantity and location of any hazardous waste. After Purchasing has received the memo back regarding the hazardous waste on campus, the selected disposal company is notified of the type of waste, its location, and its quantity. They are instructed to price the job. Purchasing reviews the pricing and, if acceptable, establishes a schedule with the company for the hazardous waste removal and disposal during the third week of June and the second week of December each year.

OSHA has also enacted the Bloodborne Pathogens Standard. The purpose of this standard is to "reduce occupational exposure to hepatitis B virus (HBV), human immunodeficiency virus (HIV) and other bloodborne pathogens" that employees may encounter in their workplace.

The College has implemented an Exposure Control Plan that meets the spirit/intent of the OSHA Bloodborne Pathogens Standard. For a complete listing of job classifications that have occupational exposure and other related information, please read the Exposure Control Plan. A copy can be found at the Health Center, Purchasing Department, and each worksite main location. The Plan is available to employees and students at any time.

The Health Center is not included in the regular June and December hazardous waste campus pickups because it deals with bloodborne pathogens. Bloodborne pathogens are medical waste. Medical waste disposal is contracted differently and separately for the Health Center. The College contracts with an environmental services-type contractor for necessary pickup and disposal in compliance with federal, state, and local regulations. Temporary special storage areas are identified and maintained at the Health Center (where custodial and security medical waste accumulations are temporarily held), the Rec Center, and the Stadium Athletic Department training rooms. (As with hazardous waste disposal, the medical waste disposal contract is offered for competition every three years.)

Until actual medical waste pickups are necessary, "sharps" (i.e., needles) disposal containers and hazardous waste containers are used in appropriate settings (as close as practical to the use area). These containers are puncture resistant and leak proof. Sharps-disposal containers are puncture resistant and leak proof. They are to be replaced when 3/4 full by Health Care Personnel. Red biohazard bags and boxes are used for infectious waste. If the outside of the hazardous waste box is contaminated, it is disassembled and placed into another box.

All biohazard boxes and sharps containers are marked with a designated symbol. A biohazard label is fluorescent orange or red. The labels are attached to:

- Refrigerators or freezers containing blood or other potentially infectious materials
- All hazardous waste containers
- All sharps containers
- Contaminated equipment needing repair (identify the area that is contaminated)

All College employees/student workers affected by the OSHA Bloodborne Pathogen Standard are taught that all body substances should be treated as potentially infectious. Employees who have this potential for exposure should be well informed and educated. To ensure this, a comprehensive training program has been established for initial and on-going training. Supervisors and department managers are responsible for maintaining this training in their areas.

They also may be assisted by the Health Center Director. Training methods and details can be found in the College's Bloodborne Pathogens Exposure Control Plan.

There is an underground gasoline storage tank located at the Buildings and Grounds facility. This container must be maintained in compliance with OSHA and EPA requirements as stipulated by the State Department of Commerce, Division of State Fire Marshall, Bureau of Underground Storage Tank Regulations.

The permit and necessary paperwork are coordinated and maintained by the Director of Buildings and Grounds in compliance with current regulations. The application for the annual fee assessment payment and current reporting are also the responsibility of the Director of Buildings and Grounds.

In conclusion, it is the responsibility of all personnel having hazardous material or hazardous waste as part of their responsibilities to ensure that all persons involved are aware of these procedures and are familiar with precautionary and follow-through actions resulting in safe and proper use, storage, and disposal.

Logo or Name, Use of

The institution does not permit the use of its name in any announcement, advertisement, publication, or report if such use in any way implies institutional endorsement of any product or service. Any firm or its advertising agency requesting the use of pictures or facilities of the institution for sale or advertising purposes, or requesting the use of any copy relating to such pictures or facilities, should be referred to the Vice President for Development.

The Vice President for Development is responsible for determining whether the institution's name may be used in conjunction with the particular project or service. In certain cases, he or she may refer requests for such use to the President, Executive Vice President, and Treasurer, or others, as appropriate.

Long Distance Telephone Charges and Credit Cards

LONG DISTANCE TELEPHONE CHARGES

Each department or activity receives a monthly statement listing long distance telephone calls charged to it. Departments are responsible for questioning erroneous long distance charges; errors should be reported to the Telephone Billing Office.

Changes to budget codes to which long distance calls are charged should be submitted in writing to the Communication Services Office. If the department fails to notify Communication Services of such changes, it is responsible for redistributing charges to accounts other than the one originally charged by processing an expenditure refund to the account originally charged.

Long distance service is for official institutional business only. Personal long distance calls never may be charged to an institutional telephone. Persons charging long distance calls to institution numbers are violating federal and local tax laws. An individual may make personal long distance calls from an institutional telephone by—

1. charging the call to his or her home telephone,
2. charging the call to his or her personal telephone credit card, or
3. reversing the charges.

TELEPHONE CREDIT CARDS

Requests for telephone credit cards should be submitted in writing to the Director of Communication Services. The request should state how the card will be used, the expected amount of usage (in dollars) each month, the person(s) authorized to use the card, and the telephone number to which calls should be billed. If approved, the request will be forwarded either to _____ or to the State Department of Telecommunications as appropriate.

Mail Services

MAILROOM

The mailroom is located on the first floor of the Administration Building. Operating hours are 8:00 a.m. - 5:00 p.m. Monday - Friday.

The following categories of mail (including intracampus) may be taken to the mailroom or will be picked up twice daily at the departmental offices (not located in the Administration Building):

1st Class

1st Class Presort

Parcel Post

Library Rate

International Air & Surface

Overnight Express USPS

Priority 2 day USPS

Federal Express

Airborne

DHL

Insured

Registered

Certified

Return Receipt Requested

Express mail must be in the mailroom two hours before closing.

Intracampus mail should be directed to the department—not the building.

Distribution of flyers: The number that should be provided to the mailroom

for intracampus distribution is as follows:

Faculty:	175
Faculty and administration:	275
Faculty, administration, and staff:	600

For entire campus mailings addressed to individuals, labels should be ordered by department.

Memos to students must be separated by residence halls.

All U.S. and overseas mail with the College return address is metered; therefore, for large mailings, approximately three days advance notice should be given to allow for necessary processing and obtaining of meter-machine monies.

Zip codes must be on all mail to be accepted by the U.S. Postal Service.

No surprise objects (buttons, clips, pencils, or magnets) should be enclosed in mailings. Envelopes containing nonmeterable objects should be marked "HAND CANCEL."

Plastic tape should not be placed in the upper right corner of packages so stamp can be affixed.

Note: United Parcel Service (UPS): Only outgoing service is handled by the College Bookstore and should be coordinated with the Assistant Manager.

SPECIAL POSTAL SERVICES

Special Postal Services is located in Heritage Hall on the first floor, east entrance. Operating hours are 8:30 a.m. - 5:00 p.m. Monday - Friday.

Special Postal Services handles second- and third-class bulk mailings, and printed pre-stamped first-class mailings of over 200 pieces. Labels for these mailings should be ordered, in Zip code order, from the Computer Center. Services provided for these types of mail include:

- address labeling,
- metering of filled pre-addressed envelopes,
- bundling according to Zip code, and
- folding, inserting (of 1 or 2 items), labeling and metering of large mailings.

Engraving services (i.e., provision of machine-engravable thermoplastic signs, name plates, and badges) are available and should be requested on a service and stores requisition form.

All large mailings should be pre-planned and coordinated with the Special Postal Services Clerk. The "date wanted" on the service and stores requisition form should be the specific completion date agreed upon.

All questions with reference to the particulars of or information concerning the mailroom and Special Postal Services procedures and all requests for the scheduling of bulk mailings should be coordinated through the Mail Services Supervisor.

Minority- and Women-Owned Enterprises (1)

INTRODUCTION

This Minority Business Enterprise (MBE) Program has been developed and adopted by the College District as part of the College's policy on affirmative action and equal opportunity. The MBE Program shall apply to the expenditure of all College funds without regard to their source.

PURPOSE

It is the intent of the College District to ensure the fullest possible participation of firms owned and controlled by minorities in the performance of contracts, leases, purchase orders, and all forms of agreements where work, labor, services, supplies, equipment, materials, construction, occupancy, use, or sale of property or any combination of the foregoing involves funds expended by or on behalf of the College District. In the furtherance of this policy, the College shall make every effort to ensure that minority business enterprises will have the maximum practicable opportunity to compete for contract, subcontract, and other work let by the College. Efforts to include MBEs must be consistent with sound procurement procedures and applicable law; and, consistent with such procedures and law, it is the policy of the College to utilize MBEs in all areas, and they are encouraged to participate in all bidding.

GOALS

In order to assess the success of the overall Minority Business Enterprise Program, specific goals have been set so progress can be measured. These goals are stated as a percentage of total dollar value of contracts to be awarded and are set separately for three types of procurements [i.e., construction/repair/maintenance; supplies/equipment (unrelated to construction); and services]. The following goals have been adopted by the College for the first year of its Minority Business Enterprise Program:

Construction/Repair/Maintenance	15%
Supplies/Equipment	5%
Professional Services	5%

Nothing in this MBE Program will be used to discriminate against any company. However, the College accepts the premise that affirmative efforts must be made to include minority business enterprises in the nation's economic system. Thus, the College is committed to ensuring minority firms of an equitable opportunity to attain the goals set forth in this MBE Program.

The goals for minority business enterprise participation will be reviewed annually by the Vice President for Administrative Services/Treasurer and will be adjusted by the Board of Trustees as necessary to reflect changes in the College's needs and in the development of appropriate minority-owned business.

DEFINITIONS

In the context of this MBE Program, the term minority business enterprise means a business concern that is owned and controlled by one or more minorities. For the purposes of this definition:

Minority person means an individual who is African, Hispanic, or Asian American, American Indian, or Alaskan native.

Owned and controlled means a business that is at least 51 percent owned by one or more minorities or, in the case of a publicly owned business, at least 51 percent of the stock of which is owned by one or more minorities and whose management and daily business operations are controlled by one or more such individuals. Such operators shall include, but are not limited to, exercising the power to make policy decisions, planning how contracts will be fulfilled, being actively involved in the day-to-day management decisions, organizing and controlling the finances of the business, and supervising the employees who will be performing the necessary labor to fulfill the contract.

The ownership and control by minority owners shall be real, substantial, and continuing and shall enjoy the formal ownership of the entity as reflected in its ownership documents. The minority owners shall enjoy the customary incidents of ownership and the consideration of such shall focus on substance rather than the form or arrangements. If a nonminority owner(s) of the entity is disproportionately responsible for the operation of the organization, the business is not controlled by a minority(s) and shall not be considered a minority business enterprise. Where the actual management of the business is entrusted to an individual(s) other than the owner(s), that person(s) who exercises the power to hire and fire the managers or supervisors may be considered as controlling the business.

RESPONSIBILITY

Vice President for Administrative Services/Treasurer

It is the responsibility of the Vice President for Administrative Services/Treasurer to assure the full implementation of Board policy provisions related to equal opportunity and affirmative action and overall compliance with stated policy. The Vice President for Administrative Services/Treasurer will administer the College's MBE Program. The implementation of the program will be the responsibility of the Equal Opportunity Action Officer.

Other Personnel

Other management personnel involved in procurement and contracting share the responsibility for ensuring the effective implementation of the MBE Program. They are expected to give their full cooperation and active support to the Equal Opportunity Action Officer and Vice President for Administrative Services/Treasurer in this regard.

CERTIFICATION OF MBES

In order to be qualified to do business with the College as a minority business enterprise, a vendor must have a valid State certification letter. In addition, the MBE will be required to provide the College with a copy of the entire state application for its own file 10 days prior to bid opening.

Further, the College will actively solicit qualified MBEs and assist them in getting state certified. However, the Equal Opportunity Action Officer may waive state certification if a state application has been filed and is being processed and a thorough review including an on site visit warrants temporary certification. A copy of that application must be filed with the College, reviewed, and approved at least 10 days prior to receiving any proposal.

Assessing Goal Achievement

Goals represent overall objectives and are applicable to the total goods and services purchased by the College. (Separate subcontract goals of 15 percent for construction, repair, and maintenance; 5 percent for supplies and equipment; and 5 percent for professional services will be required for procurements in excess of $20,000.)

MBE participation is counted toward meeting the goals outlined above as follows:

1. The total dollar value of a contract or subcontract awarded to a certified MBE will be counted toward the applicable goal.

2. Only expenditures to MBEs that perform a commercially useful function in the work of a contract or subcontract will be counted toward MBE goals. An MBE is considered to perform a commercially useful function when it is responsible for execution of a distinct element of the work of a contract or subcontract and carries out its responsibilities by actually performing, managing, and supervising the work involved. An MBE subcontractor cannot subcontract a significantly greater portion of the work of the contract then would be expected on the basis of normal industry practices. In general, the MBE is presumed not to be performing a commercially useful function if it subcontracts more than 30 percent. The MBE may present evidence to rebut this presumption.

3. The total dollar value of materials and supplies obtained from MBE suppliers and manufacturers will be counted toward MBE goals if the MBEs assume the actual and contractual responsibility for the provision of the materials and supplies. The total dollar value will be counted in the case of an MBE manufacturer. Thirty percent of the total dollar value will be counted in the case of MBE subcontractor suppliers that are not manufacturers, provided that the MBE subcontractor supplier performs a commercially useful function in the supply process.

MBE FILE

A file of bona fide minority business enterprises will be maintained and constantly updated by the Equal Opportunity Officer. Only MBEs certified pursuant to the methods outlined in this Minority Business Enterprise Program will be included. These will include, but not be limited to, those lists developed by the State of MBEs throughout the state. The file will contain the following information on each MBE listed: name, address, and telephone number; type of work/service provided; date business established; legal structure of

business (sole proprietorship, partnership, corporation, etc.); percent of minority ownership; previous work experience (including work performed for the College); bonding capacity; and names of contact persons. The file will not contain any information that reasonably may be regarded as confidential business information.

The file will be made available to bidders and proposes who need this information in their efforts to meet the MBE requirements of the College. Specifically, lists of possible MBE subcontractors are distributed at pre-bid conferences. The file will also be available to all staff of the Purchasing Department and to other staff involved in the procurement process. Bid notices are routinely sent to appropriate MBEs selected from this file as well as local MBE offices and associations.

EFFORTS TO MAXIMIZE MBE PARTICIPATION

The College recognizes that the establishment of goals for minority business enterprise participation must be coupled with specific programs that will enhance the likelihood of goal attainment.

All bid specifications include an explanation of requirements concerning minority business enterprises. Further information, including lists of possible MBE subcontractors compiled from the MBE file, will be provided as requested by the Equal Opportunity Action Officer.

Among the techniques that are or will be used to provide assistance directly to minority business enterprises are the following:

1. Appropriate minority business enterprises selected from the MBE file will receive notice of contracting opportunities 21 days prior to bid date. Notices of minority opportunities to do business with the College will also be published in media that reach minority entrepreneurs.

2. The College uses the least complicated bid forms appropriate to each procurement solicitation.

3. The College considers breaking contracts into smaller parts, where economically feasible, prorating payment and delivery schedules, and using staged bonding.

4. Staff will provide counseling on how to complete bids so that bidders will meet the necessary requirements.

5. Staff will advise MBEs, as needed, of procedures for obtaining required bid and performance bonds.

6. Staff will conduct training sessions for groups of minority business enterprises for the purpose of informing them of the MBE Program and business opportunities with the College and explaining every phase of the bidding process.

7. The College will provide coordination with and referral to existing programs of the U.S. Department of Commerce, the Small Business Administration, and other organizations designed to provide management and technical assistance to minority business enterprises.

8. Bidders are, upon request, counseled regarding the specific reasons a bid was unsuccessful. Requests for such consultations are made through the Equal Opportunity Action Officer.

9. The College shall develop an informal brochure for distribution to minority businesses and organizations assisting MBEs.

Additional activities that improve the opportunities for minority business enterprises within the College shall be implemented as the need arises.

ENSURING MBE PARTICIPATION IN CONTRACTS IN EXCESS OF $20,000

All bidders on contracts in excess of $20,000 are required to participate in the College's efforts to reach the goals for MBE participation.

To that end, all bids for proposals over $20,000 shall include an MBE utilization plan. No contract will be awarded until an acceptable MBE utilization plan is reviewed by the Equal Opportunity Action Officer. Acceptable plans must, in the opinion of the Equal Opportunity Action Officer, provide the maximum possible opportunity for approved MBE participation in the performance of the contract. All bidders shall be required to submit the name, scope of work, and dollar value of each proposed minority subcontractor with the bid. All MBEs proposed to be used must be certified as set forth under Certification and have signed a letter of intent.

A bidder who fails to submit a minority utilization plan or who violates any other provision of this MBE Program shall be deemed a nonresponsive bidder and will not be awarded the contract. In no case shall there be any negotiation over the provisions of the bid as submitted by the bidder after the opening of the bids, except as specifically stated herein.

MBE UNAVAILABILITY

If a bidder cannot meet the appropriate MBE goal, the College will require that the bidder demonstrate that good-faith efforts to meet the goals have been made. In order to be recognized as good-faith efforts, the actions of the bidder must be those which, given all relevant circumstances, would be made by a bidder actively and aggressively seeking to meet the goals.

To demonstrate good-faith efforts to meet the MBE goals, a bidder must document the steps that were taken to obtain MBE participation, including, but not necessarily limited to the following:

1. Attendance at the pre-bid meeting, if any, scheduled by the College to inform MBEs of subcontracting opportunities under a given solicitation and to inform contractors of minority business enterprise requirements.

2. Advertisement in general circulation media, trade association publications, and minority-focus media for at least 21 days before bids or proposals are due. If 21 days are not available, publication for a shorter, reasonable time is acceptable.

3. Written notification to MBEs that their interest in the contract is solicited, the follow-up contact to determine whether the MBEs were interested.

4. Efforts made to select portions of the work proposed to be performed by MBEs in order to increase the likelihood of achieving the stated goals.

5. Efforts to negotiate with MBEs for specific subbids, including at a minimum—

   - the names, addresses, and telephone numbers of MBEs that were contracted;
   - a description of the information provided to MBEs regarding the plans and specifications for portions of the work to be performed; and
   - a statement of why additional agreements with MBEs were not reached.

6. Each certified MBE supplier/contractor contacted must be documented, and if unable to perform the work, the reasons must be given. An unavailability certificate must be signed by each MBE not able to perform the work requested along with the appropriate reasons.

7. Use of the services of minority community organizations, minority contractors' groups, governmental minority business assistance offices, and other organizations that assist in the recruitment and placement of MBEs.

Bidders that fail to meet MBE goals and fail to demonstrate good-faith efforts are not eligible to be awarded contracts with the College. Bidders who meet MBE goals or who demonstrate good-faith efforts as described are eligible to be awarded contracts with the College.

SUBSTITUTIONS

Bidders that find it necessary after award of a contract to make substitutions for MBE subcontractors are required to replace such subcontractor with another MBE. All substitutions must be approved by the Equal Opportunity Action Officer in order to ensure eligibility of substituted MBEs and to ensure that the percentage goals will be met.

CONTRACT OVERSIGHT

The Equal Opportunity Action Officer of the College will monitor the contractor's MBE involvement efforts during the performance of an awarded contract. Such review will include, but not be limited to:

1. Reviewing each contractor's minority business enterprise efforts to determine compliance with the stated percentage goals of each bid.

- If the contractor meets or exceeds the stated requirements, the contractor shall be presumed to be in compliance and the bid shall be approved.
- When it is found a contractor has failed to meet the stated goal of his plan, the MBE Officer shall review the plans with the contractor and allow five days for revision. (This review shall be in writing and made a part of the bidder's file for future reference.)

2. If the contractor assures that the goals will be met during the performance of the contract and later it is learned that the contractor has failed to comply, then the Vice President for Administrative Services/Treasurer will issue a withhold payment notice to the Accounts Payable Department.

Following the withholding of payment, no further payment will be made until the contractor meets the goals. Failure of the contractor to meet the goals will result in the contractor being declared in default, and the College may procure the article or services from other sources and hold the contractor responsible for any excess cost occasioned thereby.

3. Responsibility for determining whether a nonregistered MBE is qualified as an MBE will be the contractor's responsibility. Where the College finds that the offered MBE is not, as stated by the contractor, the College shall impose such sanctions against the contractor as may be necessary, including the termination of the contract and rejection of future bids for a period of one year from the date the sanctions were approved.

4. The contractor will keep records and documents for one year following performance of this contract to indicate compliance with this notice. These records and documents, or copies thereof, will be made available at reasonable times and at places for inspection by the Equal Opportunity Action Officer of the College upon request, together with any other compliance information which such representative may require.

APPEALS

Any alleged violation must be received in writing within 10 days of occurrence by the Equal Opportunity Action Officer and shall be investigated promptly. A written response will be made by the Equal Opportunity Action Officer no later than 10 days after receipt.

Appeal from the decision of the Equal Opportunity Action Officer shall be to the Vice President for Administrative Services/Treasurer, and a hearing shall be held in accordance with the procedure herein set forth:

1. Upon receipt of a request for hearing, the Vice President for Administrative Services/Treasurer shall set a date for the hearing and shall give the party requesting the hearing at least 10 days written notice of the date and time set for the hearing.

2. The Vice President for Administrative Services/Treasurer has the authority to compel the attendance of persons and the production of documents.

3. Parties shall have the right to be represented by counsel, present evidence and witnesses, and cross-examine adverse witnesses.

4. All hearings shall be open to the public.

5. An electronic recording of the hearing shall be made, which shall be a part of the official record of the proceedings. A copy of the recording shall be made available to the parties at cost upon request.

6. All testimony shall be given under oath or affirmation.

7. Any person may be excluded from hearing for conduct that interferes with the hearing process.

8. The rules of evidence shall not strictly apply; however, the Vice President for Administrative Services/Treasurer shall have the authority to exclude irrelevant or repetitive evidence or testimony.

9. The official record of the hearing shall consist of the notice of the hearing, the written submissions of the parties, if any, the report(s) of the Equal Opportunity Action Officer upon which the charges of denial are based, briefs and proposed findings and conclusions filed by the parties, exception to proposed findings and conclusions, and the electronic recording of the hearing.

10. The burden of proof for each issue is by a preponderance of the evidence.

11. The decision of the Vice President for Administrative Services/Treasurer shall be issued in writing within 10 days after the hearing.

DOCUMENTATION AND EVALUATION

The Equal Opportunity Action Officer will be responsible for maintaining computerized records, which will document all activities undertaken to further the policies and achieve the goals of the College's MBE Program. These records will include the following:

1. Awards to MBEs, including names of contractors and subcontractors, nature of the work, total value of the contract or subcontract, and the amount of the MBE awards as a percentage of the dollar value of all contracts and subcontracts awarded
2. Specific efforts to identify and award contracts and subcontracts to minority firms
3. Copies of advertised invitations to bid
4. Copies of direct mailings to minority businesses
5. Pre-bid conference information
6. Requests for assistance from minority firms interested in bidding on College contracts and subcontracts
7. Group meetings and training sessions for MBEs
8. Efforts to assist MBEs in acquiring bonding and insurance
9. Results of surveys and questionnaires

The Equal Opportunity Action Officer appointed by the Board of Trustees, upon the recommendation of the President and the Vice President for Administrative Services/Treasurer, will have the authority to review and report annually on the progress of the College's Minority Business Enterprise Program.

ADVISORY BOARD

An Advisory Board representing the community shall advise and make recommendations to the College regarding the MBE Program. It shall review the effectiveness of the program and present innovative approaches to fulfilling the College's minority business enterprise commitment in accordance with its policy. The Advisory Board shall be comprised of five members including a minority contractor, a majority contractor, a minority businessperson, a majority businessperson, and the Equal Opportunity Action Officer. These members shall be appointed by the President for three-year, staggered terms. The Equal Opportunity Action Officer shall chair the board and be responsible for convening all meetings.

Minority- and Women-Owned Businesses (2)

It is the policy of the U.S. government (Public Law 95-507) that small business enterprises and small disadvantaged and women-owned business enterprises have the maximum practicable opportunity to participate in the performance of contracts let by any federal agency.

It is also the objective of the University to provide the opportunity to minority and women-owned business enterprises to become sources of supply for the University. Our basic posture is to meet our objectives through normal bidding and procurement procedures conducted in a manner that provides, to the maximum extent possible, open and free competition that does not give one vendor a competitive advantage over other vendors.

DEFINITIONS

Small Business Concern—A small business as defined pursuant to section 3 of the Small Business Act and relevant regulations promulgated thereto (i.e., a concern, including its affiliates, which is independently owned and operated, is not dominant in its fields of operations, and can further qualify under the criteria concerning number of employees, average annual receipts, or other criteria, as prescribed by the Small Business Administration).

Small Disadvantaged Business Concern—Any small business concern that has the following characteristics:

1. It is at least 51 percent owned by one or more socially and economically disadvantaged individuals, or, in the case of any publicly owned business, at least 51 percent of the stock is owned by one or more socially and economically disadvantaged individuals and one or more such individuals manage and control the daily operations of the business.

    • Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities.

    • Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged.

2. Its management and daily business operations are controlled by one or more of such individuals. It is presumed that socially and economically disadvantaged individuals include African Americans, Hispanic Americans, Native Americans (such as American Indians, Eskimos, Aleuts, and Native Hawaiians) and other minorities, or any other individuals found to be disadvantaged by the Small Business Administration.

Small Women-Owned Business Concern—The term small woman-owned business concern means a business that is at least 51 percent owned, controlled, and operated by a woman or women; or in the case of any publicly owned business, at least 51 percent of the stock is owned by a women and one or more such individuals manage and control the daily operations of the business.

For the purpose of this definition, businesses that are publicly owned, joint stock associations, and business trusts are exempted. Exempted businesses may voluntarily represent that they are, or are not, women-owned if this information is available.

The University, acting in good faith, may rely on representations by vendors regarding their status.

The Purchasing Department is committed to the following:

1. It will interact with various public and private agencies and/or organizations dedicated to the identification and introduction of small business concerns, small disadvantaged business concerns, and small women-owned business concerns.

2. It will interact with the Department of Research Administration and the appropriate federal regulatory agencies.

3. It will provide the opportunity to minority and women-owned business enterprises to become sources of supply for the University, and to the degree possible, it will provide assistance to such businesses to qualify them for bidding or assist them in supporting the University's needs.

4. It will maintain appropriate records of such business dealings.

RESPONSIBILITIES

This procedure specifies the principle functions of the user departments and the Purchasing Department that are directed toward identifying small, small disadvantaged, and women-owned business enterprises. These tasks are primarily clerical and, in general, consist of preparing and maintaining records and files.

Federal Contracts are subject to the Small Business Subcontracting Plan (Public Law 95-507).

User Department—Departments purchasing against a federal contract account (contracts over $500,000) will process an authorized purchase requisition stamped "Public Law 95-507 Applies, Small/Minority Sources Preferred." This stamp is available from the Department of Research Administration.

Purchasing Department—The appropriate buyer will, whenever possible, source the product to identify qualified vendors. Suggested sources include:

- purchasing vendors list coded by vendor type (see below),
- vendor suggested by the requisitioner, and
- source publications.

The Contract Analyst has responsibility to maintain the vendor-type list and can be consulted by the buyers for resource purposes.

Vendor-Type Categories

SM—small, minority

SMW—small, minority, women-owned

SN—small, nonminority

SNW—small, nonminority, women-owned

The buyer will verify the vendor type with the selected vendor, if it is not known, and note the code number on the purchase requisition for record purposes. Copies of the purchase requisition will be given to the Contract Analyst to ensure that each appropriate vendor is correctly coded in the computer system.

Research Administration—Research Administration is responsible for the periodic reporting to the appropriate government agencies. As such, a report is run by the Information Services Department that shows total dollars spent with vendors in each of these categories by department account number for the time period specified.

Moving Expense Reimbursements

The College is required under IRS publication 521 to report payments for moving expenses on an employee's W-2. IRS form 7583 will be issued by January 31 each year to allow the necessary deduction from your tax return. Reimbursement for moving expenses may include: moving costs of personal effects, travel expenses to your new home, looking for a new home, and temporary housing in the new area. For reimbursement, the move needs to be at least 35 miles, and the employee must plan to work for the College for at least 39 weeks.

The College has established moving discounts with United Van Lines and Allied Van Lines.

Printing and Graphics Services (1)

PRINTING SERVICES

Printing Services is located in Heritage Hall. Operating hours are 8:30 a.m. to 5:00 p.m. Monday through Friday.

Duplicating service for all College-related work is provided. Recycled paper is used whenever possible. Based on the availability of personnel and machinery, educational-related personal work will also be done for currently enrolled students and for employees.

Services should be requested for a specific date on a service and stores requisition form. The "date wanted" should allow three business days completion. Nonroutine, project-type work (i.e., jobs of an emergency nature, those that require ordering special paper, those of high volume, or those involving multiple functions) should be discussed in advance of sending the requisition in order to establish a realistic completion date. Campus mail should be used for the request form and the return of completed work.

Service(s) for reproductions that do not require a negative may be expedited by adherence to the following guidelines:

- Reproduction of 25 or more copies should be done at Printing Services. The decreasing cost per copy for larger quantities provides a cost savings to the department and makes the most efficient overall use of College reproduction equipment.

- For signatures, black ink should be used. Please do not use erasable bond paper or embossed letterhead. Material should be submitted exactly as it is to appear on the finished product. Opaquing fluid may be used for corrections.

- Original copy should be put on 8-1/2" x 11" or 8-1/2" x 14" paper with at least 1/2" margin on each end and 1/4" on each side for the entire image to be reproduced. Originals should be typed on white paper to ensure adequate reproduction quality.
- Printed photographs can be reproduced; however, the quality is reduced.
- To prevent lines on copy, please cover all cut edges with clear tape on an 8-1/2" x 11" sheet of paper. Do not type over copy.
- Bound materials, such as pages from books, cannot be reproduced unless photocopy is made of the page(s). For best quality, the photocopy should be cut and all edges taped (clear tape) onto a clean 8-1/2" x 11" sheet of paper. The photocopy can then be used as an original.
- Please specify those materials to be reproduced on colored paper, folded, collated, and/or stapled. Materials can be reproduced on heavier weights of paper, but must be requested. Prices for jobs on special--order paper are based on the cost of the paper. If required, Printing Services will order the paper; two weeks should be allowed for delivery.
- Copies that require 11" x 17" paper will be reproduced on the copier with a maximum number of 50 copies. Advance notice is required for such jobs due to special ordering of paper.

For printing reproductions that require a negative, please allow a minimum of 10 working days. A negative is required to reproduce in colored ink, reproduce a photograph, or when paper size is smaller or larger than 8-1/2" x 11". Note: Paper size should not exceed 9" x 16".

Questions concerning Printing Services procedures, scheduling of specific jobs, or special-handling type orders (e.g., confidential material) should be directed to the Printing Services Supervisor.

Printing and Graphics Services (2)

The Printing and Graphics Services Office is located at the center of the basement level of the Center Building. This service provides printing and graphics production services to all College departments and administrative areas. The print shop section includes duplicating, printing, collating, stapling, binding, folding, cutting, padding, drilling, and plastic laminating. The graphics section produces and provides assistance on visual presentations, such as overhead transparencies, graphics, charts, signs, posters, flyers, drawings, illustrations, as well as paste-ups, camera work, and platemaking for the offset presses.

All requests for printing and graphics services are made by completing a printing/graphics request form and submitting it along with the materials to Printing and Graphics Services. The request is processed and assigned a jobwork priority, according to the nature of the project. Production requests will be completed for: (1) instruction, (2) administration, (3) public relations, (4) student and staff activities, and (5) grant projects, in that order. However, certain emergency or critical production requests may receive a higher priority order.

Every attempt will be made to complete short-term projects daily (i.e., transparencies from available material, duplicating a limited number of copies, etc.) while still maintaining a normal schedule for the completion of long-term projects.

Requests to use certain graphics equipment, such as the Thermofax, Varityper, primary typewriter, paper cutter, MP3 camera, etc., must be authorized by the manager of printing and graphics. No unauthorized personnel may enter the production area. Requests originating from off-campus sources cannot be honored nor can staff requests for projects not connected with the College.

Materials submitted to Printing and Graphics for printing should be clear and legible. Materials with illegible or substandard printing may be returned to the department initiating the request.

Production charges are assessed to departments on a current production-cost basis.

Procurement: Comprehensive Statement (1)

FOREWORD

This manual presents policies and procedures to assist the faculty and staff in understanding the responsibilities of the College Purchasing Department in acquiring the goods and services necessary for the operation of the College.

The primary purpose of the Purchasing Department is to procure all goods and services on the best terms and at the lowest overall cost consistent with an appropriate level of quality. A uniform approach and singular point of contact with suppliers will work toward ensuring that all departments obtain their required goods and services in the specified form, quality, quantity and timeframe required, and delivered at the most advantageous price.

These policies and procedures apply uniformly to all funds administered by the College, whether they be departmental budget funds or restricted or capital funds. They do not restrict in any way what the funds are expended for, only the method of expending them.

Since these policies and procedures serve the interests of the departments as well as policy requirements of the College, we ask the faculty and staff to give their full support and cooperation. We recognize that emergency or unusual situations will occur. In such instances, departments should discuss the particulars with the Purchasing Department so whatever assistance is needed may be obtained.

POLICY

General

This manual sets forth the procurement policy and procedures governing the business relationships and procurement transactions of the College with suppliers offering goods and services to the College for purchase, lease, or rent. The purpose of this manual is to increase Collegewide cost effectiveness through controlled uniformity in procurement policy and procedures.

Definitions

Procurement—The acquisition of goods or services by purchase, lease, or rent. Employees participate in the procurement process in the following ways:

- Through direct involvement on behalf of the College (e.g., by determining required goods or services, initiating the order, authorizing payment, requesting quotations, negotiating terms, obtaining legal counsel, awarding the business, and following up on the order)
- Through support activities, such as coordinating supplier and product evaluations, and providing legal counsel
- Through indirect involvement in directing, authorizing, or approving the action of another who is directly involved in a transaction for the College

Goods and services—Any commodity offered to or procured by the College for use in the conduct of its operation. Goods include, but are not limited to, tangible commodities such as equipment, material, supplies, land, and buildings. Services include, but are not limited to, intangible commodities such as advertising, brokerage, contracted work time, insurance, and consultation of various kinds.

Transaction—A business proceeding that acquires goods or services through negotiation and execution of an agreement, contract, or purchase order issued on behalf of the College.

Supplier—An individual, proprietorship, partnership, corporation, association or other business organization that offers or furnishes goods or services to the College. Included are agents or representatives of a supplier and any organization owning a controlling interest therein. The term "supplier" as used in this manual includes contractor, lessor, and vendor.

Policy Statement

The College will procure all goods and services on the best terms and at the lowest overall cost consistent with an appropriate level of quality. Acquisition will be without favoritism and on a competitive basis, whenever practical, to obtain maximum value for each dollar expended. All interested suppliers will receive fair and impartial consideration.

Affirmative action will be taken to provide maximum practical opportunity to minority and women businesses to participate as suppliers and contractors in the provision of goods and services to the College.

Those responsible for procurement shall conduct a continuing and reasonable search of the market for new sources of supply. To prevent suppliers from becoming critically dependent on College business, every effort shall be made to ensure that business awarded does not represent a substantial portion of a given supplier's gross sales.

Any form of discrimination or reciprocity is prohibited in the awarding of business.

Legal Aspects

Since the College will be bound to the terms of the agreements negotiated by its employees, these employees must act in accordance with the limits of their authority. Any questions concerning the ramifications of formation or language of any oral or written procurement agreement should be reviewed with the legal counsel of the College prior to the presentation or execution of the agreement.

Business Relationships and Ethics

Employees conducting business transactions on behalf of the College hold a position of trust which dictates that their actions be governed by the highest standards of personal and business conduct.

Employees shall use the College's prestige as it relates to buyer strength fairly, objectively, and legally in all situations.

The College does not purchase goods or services for the personal use of its employees.

Ethical business standards shall govern all transactions. Employees must be aware of situations and circumstances requiring prudent action, including the following:

Proprietary information—Proprietary information exchanged during transactions shall be identified and its treatment clearly agreed upon by both the College and the supplier (e.g., specifications, proposal or quotation particulars, proofs, printing plates, etc.)

Gifts—Employees shall not solicit, accept, or agree to accept any significant gift from a supplier or prospective supplier. A significant gift is defined as any tangible item, any service, any favor, any monies, credits, or discounts not available to others of a value that could influence actions. (Employees may accept trivial items as a matter of courtesy, but may not solicit them.)

Entertainment, hospitality, and meals—Supplier offers of entertainment and hospitality shall be tactfully but clearly refused. Acceptance of invitations to business meals shall be subject to prudent judgment as to the appropriateness of the occasion, frequency, choice of facilities, and future opportunities to reciprocate.

Conflict of interest—Employees directly responsible for purchasing should not have any personal or family interest, involvement or financial relationship with a supplier which might impair objectivity or freedom of judgment. If possible, these employees should avoid using College suppliers for personal needs.

Authorization

Authorization levels to procure and make approval levels for payment for goods and services shall be in accordance with vice presidential or departmental directives.

Any special authorization or approval requirements should be publicized and incorporated in the departmental lead time, so as not to delay the desired acquisition, and to facilitate prompt procurement and payment processes.

Contracts and lease execution shall be accomplished at officer level or as specifically delegated to the designated department head or the Director of Purchasing.

Responsibilities

The responsibilities set forth in this manual are collegewide in scope, reaching each level, organization and department.

The ultimate responsibility for the procurement of all goods and services for the College is vested in the Vice President for Finance. Accordingly, his organization shall define the structure of the procurement process and the degree of centralization and control. Responsibilities now centralized include the following:

Purchasing

- Administration, coordination, and control of all procurement for internal use by the College for maintenance items, custodial supplies, furniture and office equipment, mail services, printing services, reproduction equipment, telecommunications products and service, etc.
- Implementation, interpretation, and administration of this policy and procedure manual
- Evaluation of procurement functions not currently centralized in order to recommend the degree of centralization and control feasible
- Implementation, administration, coordination, and control of additional functions centralized
- Conducting surveys, studies, reviews, and audits to monitor the adequacy and effectiveness of the procurement policies and procedures

Legal

- Provide counsel to those involved in the procurement process to ensure that the legal rights of the College are preserved and its legal obligations properly defined

Bookstore

- Purchasing, control, and provision of books, clothing, office supply items, etc. for resale and departmental needs

Food Service

- Purchasing, control, and provision of Food and Related Catering Services for resale and departmental needs

While the structure of further procurement centralization and control is being defined all other departments are to—

- strengthen the understanding and individual proficiency of employees participating in any aspect of the procurement process by communicating to them the contents and overall intent of the manual,
- integrate this policy and associated procedures into the management of their budgeting processes for capital and final expense accounts and controllable clearing accounts in order to realize progressively greater cost savings from more effective procurement, and
- relinquish completely the procurement processes for those goods and services for which College-wide procurement centralization has been established.

PROCEDURES

General

This section presents the principal procedures of the College governing the procurement of goods and services used in the conduct of its business. The purpose of this section is to establish Collegewide uniformity in these procedures as to—

- facilitate implementation of the College procurement policy,
- establish a procedural base for centralized procurement control,
- set a high standard of proficiency for employees involved in purchasing, and
- increase cost effectiveness through cost control.

Procurement Process

The following is an overview of the progress of the procurement process from the preparation of the initial request for goods or services to final payment.

The department's subject expert has a request for purchase order, check, or cash form prepared and mails it to Purchasing. The form must be legible and complete (typed if possible) including:

- authorization from the department head and

- ordering information, shipping instructions, date needed, insurance (if needed), etc. (The quality and comprehensiveness of the information provided has a direct relationship to the effectiveness of the acquisition.)

Purchasing will decide whether the requested goods or services are available from stock or surplus or under the terms of an existing agreement, or if they need to initiate a purchase order.

Note: Emergency procurement requests will receive special handling and be expedited as appropriate. An emergency situation is understood to be one that critically affects maintenance or seriously and adversely affects the ability of employees to perform their duties, and does not allow sufficient time to follow normal procedure.

While certain steps in the next two stages may vary depending on the transaction, basic procedures performed by Purchasing, Central Receiving, requesting/end-user department, and Accounts Payable include the following:

Purchasing

- Selecting The proper procurement method—buy, lease, or rent
- Determining applicability of obtaining price quotations
- Formulating requests for proposal or quotation, if applicable
- Sending proposal or quotation requests to or soliciting prices from selected suppliers
- Receiving, documenting, and evaluating suppliers proposals, quotations, or prices
- Selecting the supplier, completing negotiations, and forwarding the appropriate order
- Acknowledging other suppliers' responses, if applicable
- Executing the agreement, when applicable
- Expediting orders or shipment
- Resolving claims for overages or shortages and/or invoice versus purchase order discrepancy

Central Receiving

- Receiving and acknowledging all purchase order-related goods delivered to the College
- Updating the purchase order file to indicate receipt of goods/shipment
- Delivery of goods shipment to appropriate requesting/end-user department and obtaining acknowledgment of delivery

Requesting/End-User Department

- Acknowledging delivery of goods from Central Receiving
- Completing the receiving copy of the request for purchase order, check, or cash form
- Forwarding the receiving copy of the request for purchase order, check, or cash form, along with any accompanying shipping documents and/or copies of supplier invoices to Accounts Payable

Accounts Payable

- Receiving and processing all suppliers' invoices
- Verifying agreement of quantity and price on the invoice, purchase order, and receiving copy of the request for purchase order, check, or cash form
- Initiating payment of the supplier invoice

Buyer's Role and Responsibilities

The success of the College's purchasing is dependent on the level of expertise exercised in the buying function. Maximum cost effectiveness is realized through fully trained and currently knowledgeable buyers. (The term buyer is meant to include all those who have authorized purchasing responsibilities). These acknowledged experts should have authority to act for the College.

The buyer's role includes being liaison between the user and the supplier during performance of the transac-

tion. Because the buyer legally binds the College, legal counsel shall be secured at any step in the procurement process where assistance may be necessary. Business must always be conducted in an ethical, competent manner while keeping the interests of the College paramount.

Inherent in the buyer's role are the specific responsibilities to do the following:

- Continuously search out newly designed, improved, or less costly goods and services
- Receive, evaluate, and acknowledge inquiries from suppliers
- Develop multiple sources of supply, including minority and women suppliers, for each type of goods and services that the College requires
- Maintain a record of goods and services that provides details of previous procurements
- Verify that requisitions are complete and properly authorized
- Determine if procurement can be made under an existing contract
- Ensure that procurement agreements are complete and accurate, include correct terms and conditions, and are properly authorized and executed
- Follow up and expedite transactions as needed to ensure satisfactory service and delivery
- Resolve overage/shortage claims and discrepancies

Supplier Qualification and Relationships

To ensure procuring goods and services at the lowest overall cost, it is necessary to give fair and impartial consideration to all suppliers. In order to qualify suppliers, it is also necessary to—

- search out and identify potential suppliers who have the ability and facilities to provide the goods or services the College needs and
- establish and maintain supplier business relationships on the highest level of professional conduct.

Suppliers may not realize that they have the capabilities to meet College requirements. Therefore, investigations of their capabilities can be instrumental in developing additional sources of supply.

An alphabetical supplier file will be maintained in the Purchasing Department, cross referenced by product or service provided. Information that will increase the usefulness of the file includes—

- interview, contact, and negotiation notes;
- copies of significant correspondence; and
- insurance coverages in force, etc.

Establishing and maintaining good supplier relationships enables buyers to take advantage of opportunities such as information on new products, cost reductions, and cooperation in meeting critical lead time.

Relationships with suppliers should never affect objectivity and independence of judgment in the awarding of business or affect conduct in the performance of procurement responsibilities.

As a safeguard against any misunderstanding, purchasing employees should—

- advise suppliers of the College's policies for awarding business and business relationships and ethics,
- document the receipt and return of sample/trial products or gifts,
- not make personal "buys" for themselves or other employees along with College procurements, and
- not request a proposal or a quotation from a supplier when there is no intent to award business to that supplier.

Negotiation

The buyer establishes all the terms and conditions of the transaction and negotiates an agreement that is in the best interests of the College and is acceptable to, and fully understood by, the supplier. Where the competitive procurement procedure has been used, the essential terms, such as all specifications, quantities, shipping arrangements, delivery dates, payment terms, liability insurance requirements, special clauses, and general terms and conditions will already have been established. If an essential term has been omitted or will be

changed significantly, the quotation procedure may have to be reopened. Usually, however, the terms to be resolved are minor and need only be agreed to by the buyer and selected supplier.

During negotiations, the buyer has the sole authority to act for the College. As appropriate, others who have a vested interest in or can offer expertise to the negotiations will be invited to participate.

When negotiations do not proceed toward an agreement that satisfactorily protects the interests of the College, the buyer should consider terminating the transaction and selecting another supplier.

Procurement Agreements

The selection of the proper method of procurement is vital to the effectiveness of the procurement agreement. The two methods by which goods and services are acquired follow:

Purchase—To procure goods or services by payment of a stipulated price either in a lump sum or over a period of time.

Lease—To procure possession or use of goods or services for a specified period of time for defined payments at scheduled intervals. (A lease for a period of less than one year is considered a rental agreement and monthly payments are termed "rent".) The lessor retains title until any "option to buy" clause in the agreement is exercised.

The method selected to procure goods or services is implemented in a procurement agreement. Procurement of goods and services will usually be pursuant to a written agreement.

Purchasing will prepare contracts, provide the interface with the legal counsel during negotiations, and obtain approval of the agreement as to form prior to execution. This is especially necessary when—

- the agreement will be executed by the President or officer of the College;
- the original agreement will be amended, renewed, canceled, or modified in any way; or
- a supplier's form is to be used in the transaction.

Note: Transactions shall not be fragmented into several procurement agreements for the purpose of avoiding required authorization and approval levels.

A *contract* is an agreement stating terms and conditions under which goods or services will be provided on request for a specified price. While a purchase order or a letter that is acted upon by the other party may technically constitute a contract, the term "contract" here means a formal, written agreement signed by all parties. How extensive a particular contract should be ultimately is a matter of judgment dependent on the awards and risks involved.

A formal contract should normally be used as the procurement vehicle when—

- the costs of the goods or services is estimated to be $10,000 or more,
- the effective period will extend for 12 months or longer, or
- requirements are complex (e.g., pricing variations, guaranteed availability, highly technical specifications).

Contracts differ from standing (blanket) purchase orders in that quantities and delivery dates are indefinite. Each transaction or pickup requires a new request form and purchase order record on the computer. We may or may not mail a copy of the purchase order to the supplier based on a check mark on the request. There will be no receiving reports for pickups. Individuals making pickups should submit a counter invoice or packing slip with the request. The request form indicates the contract number. This will appear on the purchase order as part of the description and allows for proper invoice matching.

A letter of intent is an interim contract used only when it is necessary to ensure price, delivery, or contract performance and the contract provisions for the ultimate contract require additional negotiations.

The purchase order becomes a contractual arrangement only when the supplier accepts it by either written acknowledgment or delivery. If it is written against a current contract, it is in fact just a part of that contract, subject to all of its terms and conditions.

Because the purchase order does not require extensive negotiation and is issued on a multicopy form, it is

more expedient and less expensive to process and administer than a contract. A purchase order not written against a contract or informal written contract should be considered when—

- the cost of the goods or services is estimated to be under $10,000,
- procurement is a "spot buy" or is intermittent over a period of less than 12 months, and
- procurement specifications can be directly stated, easily understood, and the preprinted terms and conditions provide sufficient protection to the College.

The standard terms and conditions of a purchase order pertain to essential and infrequently changed subjects, such as warranty, shipping, taxes, and title. These terms and conditions, known as the "boiler plate," must be approved by legal counsel.

In certain instances it may be desirable to know that the supplier has received and is obliged to fulfill the purchase order. If proof of a contract is necessary prior to delivery, the signed supplier's acknowledgment copy of the purchase order should be obtained.

A standing (or blanket) purchase order is a contractual arrangement setting forth terms and conditions applicable to certain repetitive transactions with a supplier that are expected to result in significantly high dollar expenditures over a specified, extended period, within or for an entire College fiscal year (i.e., July 1-June 30). Standing purchase orders will be established by the Purchasing Department from information provided by the involved department(s) as to the conditions of the agreement (e.g., specific goods or services, pricing, exact or percent discount, delivery instructions, etc.). Although each transaction or pickup requires a new request for purchase order, check, or cash form, an actual purchase order will not be issued for these acquisitions (see contract preceeding). The request copy should be sent to Purchasing for entry into the computer for matching against invoices associated with the standing purchase order number and request five-digit number. Orders may then be placed using the five-digit request form number (as an authorization number) for reference against the standing purchase order number. When a shipment is accepted, the receiving copy should be mailed to Accounts Payable.

Note: If delivery is to be made through Central Receiving, a photocopy of the receiving copy should be sent to Central Receiving to alert of and help identify the actual delivery. The receiving copy should not be mailed for recurring services (i.e., users (recipients) must call if an anticipated invoice should not be paid).

An *oral order* is a contractual arrangement that should be used very selectively in the procurement of goods and services. Because oral orders are easily misunderstood and difficult to enforce, a purchase order should be issued to confirm the oral order. Exceptions may be made in restricted situations for which departmental procedures provide explicit controls for proper authorization, tracking, and invoice verification. Examples include transactions for business travel and conferences, subscriptions, membership dues, bulk transportation fuels, building fuels, and certain building mechanical equipment.

Competitive Procurement Procedures

The competitive quotation procedure will be used to invite suppliers to offer their price quotation for specific goods or services. The primary objective of this procedure is to obtain goods or services at the lowest overall cost commensurate with quality and service. Other objectives include ensuring fair and impartial consideration to all suppliers, broadening the existing base of supply, and increasing the use of minority and women suppliers. The College benefits when suppliers realize they are vying for the award of business and must be competitive in cost and service.

The requirement for competitive quotations depends upon the total cost of goods or services to be procured during the term of the agreement; such cost may be incurred either at one time or over a period of time, as in the case of a lease or rental agreement. The total cost of a transaction should not be fragmented to circumvent the requirement for competitive quotations.

$5,000 and more: Competitive written quotations are required for transactions estimated to cost $5,000 or more.

$500–$4,999: Competitive quotations are required for transactions estimated to cost $500 but not more than $4,999. In this range quotations may be obtained in writing, orally, or from published catalogs. Oral confirmation of catalog prices may be desirable if they are subject to change without notice.

Less than $500: Competitive quotations are optional for transactions estimated to cost less than $500. Often a convenient source will be used.

The requirement to obtain competitive quotations may be waived in certain unique situations, such as the following:

- Procurement can be made under an existing agreement
- An emergency situation exists
- The price and terms are known to be substantially identical among all suppliers
- The request is for an identical requirement that has been procured recently through the quotation procedure
- The available supply is limited and procurement must be made immediately or an opportunity will be lost

A request for quotation form shall provide the same specifications and requirements to each supplier. Only qualified suppliers to whom the company would consider awarding business shall be invited to quote. Requests for quotation should not be made in language that could reasonably be construed as an offer on the College's part to enter into a procurement agreement. A supplier's quotation should be received on the basis of creating no rights or obligations until accepted by the College.

A request for quotation package is used to obtain written quotations for goods or services that will be procured through use of a formal contract or lease agreement due to complex specifications or unique procurement requirements. Each such package shall contain the following:

- A transmittal letter
- A complete statement of conditions applicable to the request
- Complete specifications, including product or service descriptions, estimated quantities, shipping and delivery schedules, warehousing and distribution requirements, and sketches, samples, or other pertinent documents
- The sample contract or lease agreement
- Supplier's price quotation forms

When the user's request for goods or services cannot be totally defined (e.g., complex equipment or systems), a request for proposal will be utilized and appropriate suppliers are requested to design a proposal to meet the College's needs.

cting suppliers to quote, the buyer must consider currently used sources of supply as well as new sources, which are or can be qualified.

Whenever possible, consideration should be given to local suppliers capable of competitively furnishing the College's requirements.

The optimum number of supplier quotations will vary with each transaction. In most cases a minimum of three and maximum of six should be requested. Whenever possible, qualified minority and women suppliers should be included.

Suppliers will be rotated to ensure that all qualified sources are considered over a period of time. The current suppliers will be included unless performance is unsatisfactory. Whenever the current supplier is not included in the quotation procedure, reasons for the exclusion should be documented.

At times suppliers may request additional information prior to formulating or submitting their quotation. If additional information is given, it will be made available to all suppliers to ensure true competition.

Since business should be awarded on the basis of the lowest overall cost and not necessarily on the lowest quotation, an evaluation of quotations must consider other costs affecting factors, such as the following:

- The quality of goods offered
- Functions to be performed by the supplier (e.g., warehousing and distribution)
- Supplier-provided training and technical assistance
- Broadening the base of suppliers
- Ensuring that a current supplier does not become critically dependent on the College's business
- Utilizing qualified minority and women suppliers 195

After successful negotiation with the selected supplier, all other suppliers who submitted quotations should be given prompt and adequate notification of the decision. Written quotations should be acknowledged in writing. At the buyer's discretion, the name of the selected supplier may be disclosed; however, specific information regarding price, terms, conditions, and other relevant data should not be disclosed.

Special attention should be given to a supplier who loses business that had been held for a long period. Written notification should clearly state why the supplier did not retain the business and, when appropriate, assurance given that the supplier is still considered a qualified source.

Execution of Procurement Agreements

Execution is the signing of a contract by the supplier and by the College and represents mutual acceptance of the negotiated transaction. Two copies of a contract must be fully executed; one for retention by the supplier and one for retention by the College.

Normally an agreement should be executed first by the supplier; however, expediency, convenience, courtesy, or use of the supplier's form may require that the College sign an agreement prior to execution by the supplier.

Follow-up, Receipt, and Payment

The progress and status of procurement agreements should be monitored at regular intervals. This is essential for agreements that are critical to departmental operations and those with time-phased provisions. Monitoring enables the buyer to anticipate and act quickly in resolving problems that arise in carrying out the terms and conditions of a procurement agreement, such as expediting delivery of goods or the provision of services and handling claims when goods or services do not meet specifications or agreed upon quality or quantity.

The expediting function of the buyer is one of coordination that includes the following:

- Maintaining communication with the user and the supplier on a critical procurement transaction to ensure that goods or services are being dispatched and received as scheduled
- Informing the supplier of extraneous conditions that may affect the delivery of goods or provision of services
- Advising users or suppliers of the need for their revision of any routine procedure that hampers the scheduled receipt of goods or services

Handling claims with the supplier for replacement, repair, or correction of deficient goods or services, or for an invoicing adjustment, is also a function of the buyer. Users have the obligation to furnish prompt, complete, and accurate information relative to the transaction. Claims that can be supported under the warranty provisions of the procurement agreement should be processed in Purchasing. All significant claims should be reviewed with the Legal Department before final action is taken.

Suppliers' invoices should be processed for payment promptly upon receipt. The physical receipt of invoiced goods should be verified before the invoice is processed for payment.

When a discrepancy exists between the procurement agreement and the supplier's invoice, the procurement agreement prevails. All discrepancies between procurement agreements and suppliers' bills should be resolved prior to payment of the amounts in question. Invoicing discrepancies of 10 percent, as well as those of $50 or more, should be referred to the buyer for resolution.

Procurement: Comprehensive Statement (2)

PROCUREMENT POLICIES

This guide memo covers general policies for the procurement of major and minor construction, equipment, supplies, and services by the University.

Section headings for this guide memo are the following:

1. Authority to Commit University Monies
2. Competition
3. Conflict of Interest and Ethics

4. On-Campus Sources of Goods and Services
5. Purchases on Government Grants and Contracts
6. Government-Required Licenses and Permits

Authority to Commit University Monies

The Board of Trustees of the University, which has responsibility for all University funds, including those received under grants and contracts and those originating with other outside sources, has delegated authority for the acquisition and disposition of property and the expenditure of University monies to various University officers and officials.

Purchases by Procurement and Other Service or Support Organizations—The Board of Trustees has authorized the Procurement Department to purchase goods and services for the institution. Although the Procurement Department has overall responsibility for procurement, the Board of Trustees recognizes that certain other departments have specialized knowledge and can provide valuable assistance to the procurement process. (The guide memo's Books, Periodicals, etc.; University Vehicles; and Printing cover categories of procurement in which another department is involved in addition to, or instead of, Procurement.)

Purchases by University Departments—The Procurement Department has delegated authority to departments to work directly with suppliers in acquisition of goods or services when the total dollar value of the transaction is less than $1,000 per transaction. See guide memo's Rapid Purchase Orders and Printing.

Unauthorized Purchases—No person not authorized in writing by the Board of Trustees may commit University funds to purchase goods or services. If an unauthorized person attempts to commit University funds, the University may consider the acquisition effort null and void and decline to pay any invoice that might be issued. University officers, including the Chief Financial Officer, the Director of Procurement, and those to whom the Director has delegated authority, including operations managers, supervisors, and buyers, may refuse to ratify such transactions. In such a case, the supplier may look to the individual placing the order for payment or reimbursement.

Competition

The University's policy is that acquisition of products or services will be by competition between potential suppliers, to the maximum practical extent subject to the requirements of quality, price and performance. When a department needs to use a single or sole source in the acquisition of a product or service with a cost of $2,500 or more, a written source justification is required. (Single source means other sources are available but the requisitioner chooses to use only one particular source. Sole source means that no other sources, other than the one recommended, are available.) The source justification should include the following information:

- A specific description of the supplies or services required to meet needs, and a statement of facts that show the unique qualifications of the services or items selected to satisfy those needs.
- A description of efforts made to locate other sources of supply.
- Documentation that the anticipated cost is fair and reasonable. This can be a comparison of prices when the item is generally available or, when the item is to be specially fabricated, an analysis of the manufacturer's cost.
- Any other information supporting the use of other than full and open competition.

Conflict of Interest and Ethics

All procurement activities must conform to the University's code of conduct for business activities and conflict of interest policy. Any known or apparent violation of the conflict of interest standard, whether by an employee or a supplier, must be immediately reported to the Director of Procurement.

Purchasing from an Employee or Relative of an Employee—If a department lists, as a suggested supplier on a requisition, a business in which University employees, students, or their families have a financial interest, the department must obtain the approval of the appropriate Dean or Vice President before Procurement processes the requisition (including a requisition with an invoice attached).

Personal Purchases—Procurement does not arrange personal purchases for University faculty, staff, or students. Procurement can render assistance to such individuals only by informing callers of the names of known suppliers. Procurement will spend no time locating suppliers or securing quotations. Similarly, a department may

not place an order for an individual employee or student and then have that person reimburse the department. Personal purchases may, however, be made at the Central Stores convenience shop.

On-Campus Sources of Goods and Services

The University provides many goods and services on campus for less than an individual order placed off campus would cost. A department needing a product or service provided by a University source should order from a University organization that provides it. If Procurement receives a requisition from a department for an item available at the University (e.g., an item in the Central Stores' inventory), Procurement may forward the requisition to the appropriate University organization or require the department to place an order that can be processed without the assistance of Procurement.

Purchases on Government Grants and Contracts

The University receives many government grants and contracts for academic research. In carrying out its sponsored projects, the University fulfills the agreement's conditions, some of which are stated in the sponsored project agreement, others in statutes, regulations, and policy statements.

Terms and Conditions—A grant or contract often requires the University to include certain contractual clauses in purchase orders or subcontracts issued under the award. Procurement determines which contractual clauses are appropriate for inclusion in individual contracts.

The University's procurement policy and legal requirements to include such clauses in purchase documents are among the reasons why departments should not place their own orders with suppliers, except as authorized in this guide memo.

Prior Approval—If a government-sponsored project agreement is a funding source, a government representative may be required to approve a proposed purchase of capital equipment or complex goods or services before Procurement places the order. See the Equipment Administration Manual for prior approval procedures.

1. *Offices Needing Documentation*—Both Procurement and Accounts Payable need copies of the approval documentation.

2. *Subcontracts*—If the purchase requires government approval of subcontract provisions, Procurement will obtain necessary approval and keep it in Procurement's files.

Pre-Acquisition Screening—The U.S. government Office of Management and Budget Circular A-110 and other government regulations that cover the administration of agreements with federal government agencies require that the University screen the existing inventory of capital equipment for availability before ordering capital equipment to avoid purchasing "unnecessary or duplicative items."

1. *Screening Levels*—The department making the purchase must screen for items of equipment costing between $500 and $9,999 at the departmental level before purchase, and items at $10,000 and above at the University level. Equipment costing less than $500 need not be screened.

2. *Loans and Transfers*—Government policy encourages loans or transfers of equipment from other government projects.

3. *Defense Contracts*—Purchases of equipment under Department of Defense contracts may also require Defense Industrial Plant Equipment Center (DIPEC) screening.

4. *Where to Get Help*—For information on screening procedures, see the Equipment Administration Manual (available from the University Property Administrator's office).

Government-Required Licenses and Permits

Certain transactions require permits or licenses from the federal government. See the Administrator's Toolkit for more information on how to obtain permits or licenses. Also, the University's customs broker and preferred vendor for outside logistics services provides consultation and assistance as necessary. The permits or licenses most frequently required to transact business are:

Agriculture Permits—The Department of Agriculture issues permits for import of certain organisms and biological vectors. The requesting department is responsible for obtaining a permit for each shipment or group of related shipments. The form required by the USDA is VS 16-3. See the Administrator's Toolkit for instructions.

Import or Export Licenses—The Department of Commerce or the U.S. Department of State issues licenses for either export or the importation of equipment or technical data. The requesting department is responsible for obtaining and/or signing the required license.

Duty-Free Entry of Scientific Equipment—The U.S. Department of Commerce may exempt payment of import duties for scientific equipment. Each department requesting such exemption is responsible for filling out the appropriate paperwork. The form required is ITA-338P. See the Administrator's Toolkit for instructions.

Radioactive Materials—A requisition for radioactive materials must contain a controlled radiation authorization (CRA) number (obtainable from Health Physics) before Procurement processes the order.

PROCUREMENT RELATIONSHIPS

This guide memo describes the organization of the Procurement Department and its relationships with other administrative departments, both within and external to the University. Section headings are the following:

1. Procurement Organization
2. Other Central Offices
3. Departmental Administration
4. U.S. Government

Procurement Organization

The Procurement Department reports to the Associate Vice President for Facilities Management. Component groups are described below.

Central Purchasing Group—Central Purchasing is responsible for acquisition of a wide variety of products and services. The group is divided into three teams: general buying, laboratory buying and computer buying. Procurement buyers' responsibilities include maintaining lists of prospective and approved vendors, soliciting bids or proposals, negotiating price and terms and conditions of purchase, selecting suppliers and issuing purchase orders. Expeditors work with buyers and perform a variety of procurement administrative functions.

Contracts Office—The Contracts Office is responsible for negotiating, writing and executing written contracts. Contract specialists negotiate and write consulting agreements, sponsored project subcontracts, repair and construction agreements, architectural and engineering services agreements and service order agreements. Expeditors and cost analysts work with the contract specialists and perform a variety of administrative support functions.

Central Stores—Central Stores serves the University's need for frequently used items. Electrical Engineering Stores is a satellite of Central Stores. See guide memo Central Stores for more information.

Surplus Property Sales—Surplus Property Sales sells surplus equipment and material to University employees, students and the general public. See guide memo 56 for more information.

Other Central Offices

Controller's Office—

1. Accounts Payable is responsible for ensuring payment procedures have been followed and suppliers of products or services are paid.
2. Financial Analysis Information and Reporting is responsible for establishing and implementing University policy on sales and use taxes.

Internal Audit—Internal Audit conducts periodic reviews of the Procurement organization and facilitates external audits, as required. Staff of both offices work together to implement Internal Audit's recommendations. Procurement participates in audits of other departments if the audit involves one of Procurement's functions.

Sponsored Projects Office (SPO)—SPO has primary responsibility for negotiation and administration of contracts and grants between the University and outside sponsoring agencies, including the federal government. SPO's responsibilities include signing, on behalf of the University, various certifications required by federal or state agencies, including the Certification of Compliance form from suppliers or vendors. Procurement and SPO confer on award document provisions that affect either the contracting process, subcontracting under private or federal prime contracts, or University compliance with federal regulations, such as Public Law 95-507 or other socioeconomic provisions.

University Property Administrator (UPA)—The University Property Administrator is responsible for developing, implementing and maintaining the equipment inventory system. The UPA reviews capital equipment acquisitions and surplus property sales requests for conformance with University property procedures.

Facilities Project Management (FPM)—Facilities Project Management is responsible for major construction project management and project administration. Procurement is responsible for the commercial aspects of contract negotiation, contract execution, and contract administration for FPM.

Operations and Maintenance (O&M)—The Contracts Group negotiates Service Order Agreements for O&M. A service order agreement enables O&M to deal directly with contractors for repairs, maintenance, and minor construction for University structures, systems, and grounds.

Office of Multicultural Development (OMD)—OMD and Procurement work together to fulfill federal data-gathering and data-furnishing responsibilities related to equal opportunity, affirmative action, and utilization of small, minority-owned, and women-owned business, and businesses owned by physically disabled people.

Insurance/Risk Management—The Insurance/Risk Management Office assists departments with claims over $1,000 for damaged or lost goods.

School and Department Administration

Planning—To facilitate negotiation with vendors on price agreements, Procurement encourages schools and administrative areas to provide the Director of Procurement with a long-range forecast of anticipated acquisitions when budgets are formulated on an annual basis.

Order Management—The University department initiating an order is responsible for the following:

- Timely acknowledgment of receipt or acceptance of goods or services.
- Ensuring earned payments are made to suppliers in a timely manner, in accordance with University policy and procedures, and notifying Accounts Payable on actions to be taken with regard to paying or not paying suppliers.
- Monitoring department and supplier performance in accordance with the terms of the contract or order.
- Notifying Procurement in the event of inadequate performance or nonperformance by a supplier.

Permits and Licenses—The department is primarily responsible for signing or obtaining necessary permits or licenses in support of the acquisition of products (i.e., import licenses, U.S. Department of Agriculture permits for importation of a biohazard, etc.) (see guide memo Procurement Policies).

Logistics—

1. Packing and Shipping Off Campus—The department is responsible for packing items for shipment. See Administrator's Toolkit for information on resources.
2. Loss or Damage Claims—The department is responsible for asserting any claim for damaged or lost goods. (Procurement and Insurance/Risk Management may be available to assist; see guide memos 28.5 and 54.)

U.S. Government

Office of Naval Research (ONR)—The Office of Naval Research has cognizance for administration of most Department of Defense and NASA contracts at the University. Procurement works closely with ONR for any necessary approvals on government subcontracts. ONR conducts an annual review of the University's Procurement system and Procurement works with ONR to implement recommendations made.

Defense Contract Audit Agency (DCAA)—The Defense Contract Audit Agency conducts periodic audits of the University's Procurement system. As with ONR's annual audits, Procurement works with DCAA to implement any recommendations.

Small Business Administration (SBA)—The SBA has responsibility for reviewing the University's activities under government regulations for doing business with small, small minority-owned and small women-owned business concerns (see guide memo External Affirmative Action). SBA visits the University periodically and examines supplier selection and subcontract award practices, particularly under government contracts for which the University has submitted subcontracting plans.

FINANCING OF PURCHASES

This guide memo describes arrangements by which the University extends a loan to a department for purchase of equipment or facilities, which the department repays over a period of time. Section headings are the following:

1. Definition
2. Purchases Eligible for Financing
3. Approval
4. Loan Terms
5. Financing Procedures

Definitions

University financing is an internal mechanism whereby the University makes a loan to a department for capital equipment or facilities construction and recoups the loan, plus interest, over a period not exceeding the useful life of the asset by automatic transfer from an account or accounts identified by the department. The loan is unsecured, and there may not be a formal loan agreement. The department retains all ownership responsibilities, including logging the equipment purchase into the equipment inventory system as soon as it is received and in service.

Amortization is the repayment of principal over the term of a loan.

Purchases Eligible for Financing

Departments may obtain University financing for—

- Purchases of capital equipment (for definition see guide memo Requisition Processing) for nonsponsored activities. Equipment to be paid for by a sponsored project is not eligible for financing.
- Costs of capital facilities construction projects such as remodeling when no other source of funding is available.

Approval

University Approval—The Chief Financial Officer is responsible for all University financing. The Chief Financial Officer, or designee, is advised on financing matters by a group consisting of representatives from the Provost's Office, the University Management Company, and the Controller's Office. The following offices are responsible for processing approvals:

Facilities Projects—Facilities funding section of the Controller's Office.

Capital Equipment—General Accounting section of the Controller's Office. General Accounting forwards requests for capital equipment loans over $25,000 to Facilities Funding for approval.

School Approval—Schools may require departments to obtain approval from the School Dean's office before committing to financing an equipment purchase.

Government Approval—In addition to University approval, financed purchases of capital equipment costing $200,000 or more may require prior approval for interest allowability from the federal government. Because obtaining this approval can take time, departments contemplating financing should give as much advance notice as possible to Facilities Funding.

Loan Terms

Interest Rate—

1. *External Sources of Funds*—The University borrows money from external lenders and loans it out to departments. The amount borrowed is based on monthly projections of need for the entire University. The

interest rate charged to departments varies monthly, depending on the cost of borrowing for that month. No additional charges are applied.

2. *Internal Sources of Funds*—The University may, on occasion, finance a facilities project from internal resources, such as the Expendable Funds Pool. Interest rates are set by the Board of Trustees. Long-term rates are keyed to corporate bond indices. Short-term rates are the higher of the current bank prime rate or the University's cost of borrowing. Both long-term and short-term rates may vary monthly.

General Accounting can provide a forecast of charges based on estimated rates.

Financing Period—The maximum period of a loan is the useful life of the asset, as established by the University for depreciation purposes. For more information contact General Accounting.

Damaged, Stolen, or Sold Property—If a University loan for the property is still being paid off, the University charges the department for the outstanding balance of the loan. The department may use proceeds from insurance (less deductible) or sale to offset this charge.

System Additions—A loan for additional equipment to be added to an existing system is normally amortized over the remaining useful life of the existing equipment. If the additional equipment is operationally independent the loan is amortized over the useful life of the new equipment.

Financing Procedures

Account Number—The department contacts General Accounting to obtain the financing account number to which the purchase is initially charged.

UNAP Purchasing Requisition—The following fields must be completed:

- Account: Enter the financing account number obtained from General Accounting.
- Cap Equip: Enter Y.
- Depr./Amor.: Enter Y, which indicates that financing is requested.
- Depr./Amor. Acct. (on Capital Equipment Screen): Enter account(s) to be charged for amortization of the loan.
- Remarks: Enter number of years over which the loan is to be amortized, and useful life of asset, if longer. For information on useful life, contact General Accounting.
- Routing: Enter departmental approvers for loan amortization account(s). The requisition will automatically be routed to the Department Property Administrator and to General Accounting or Facilities Funding for approval of the loan.

Equipment Inventory—The item must be entered into the Equipment Inventory System before repayment starts.

Repayment—The principal is amortized in equal installments, plus interest on the remaining balance. Interest on the loan starts when the invoice for the purchase is paid. Amortization of principal starts the first month after the equipment is placed in service (determined by the acquisition date on the Equipment Inventory System record for the item), or when the facilities construction project is complete. The debt service payment, including both principal and interest, is automatically charged monthly to the amortization account(s) designated by the department.

Reports—General Accounting distributes a monthly report for each loan. The interest and principal charges are also shown on the expenditure statement(s) for the amortization account(s).

Loan Closeout—Charges to the departmental account stop when the loan is paid off. No additional report is sent.

REQUISITION PROCESSING

This guide memo provides an overview of the procurement process. For information on procedures for preparing requisitions, see the Administrator's Toolkit. University departments are encouraged to contact Procurement early in the acquisition process. Procurement buyers can help develop technical specifications and provide product descriptions, estimates of cost or price and lists of suppliers.

Section headings are the following:

1. University Network for Accounting and Purchasing (UNAP)
2. Requisition Routing
3. Vendor Selection
4. Purchase Orders and Contracts
5. Delivery and Receiving
6. Contract Administration

University Network for Accounting and Purchasing (UNAP)

All requisitions and purchase orders or products or services and requests for reimbursement must be prepared online using the University Network for Accounting and Purchasing (UNAP), a computer system network. For more information on UNAP applications see the system user documentation.

Preparing Transactions—On-line transactions may be prepared by any person with a personal identification number (PIN) and access to the mainframe computer.

Approvals—Every requisition is electronically stored and routed on the computer system to a designated person who is an authorized approver(s) for the account(s) to be charged for the acquisition of products or services.

Transaction Processing—Business transactions are processed through UNAP electronically, which includes forwarding or returning purchase requisitions to personnel with signature authority, obtaining signature authority electronically, sending appropriate notifications to users, printing hardcopy of documentation and payment for products and services.

Getting Started—To help employees gain familiarity with the system, UNAP demo purchasing, demo checks, demo receiving, and demo blanket order releases may be used for training, testing, and orientation.

NOTE: Demo transactions are not routed to Procurement.

Requisition Routing

Approvals—In addition to departmental approval, schools may require Dean's Office approval for purchases. A requisition will also be automatically routed to other offices if their approval is needed, such as—

1. University Property Administrator must approve the acquisition of capital equipment.
2. General Accounting or Capital Budgeting approves financed purchases (see guide memo Financing of Purchases).

When a requisition has received all required approvals, it is automatically routed to Procurement.

Attachments—Attachments for requisitions are normally forwarded to Procurement by University department courier, through ID Mail, or by fax. Departments should enter the requisition number on the attachment(s) to facilitate matching the attachment to the purchase requisition. See the Administrator's Toolkit for more information.

Vendor Selection

Information Source—Departments may obtain information about vendors through the UNAP vendor file.

Soliciting Suppliers—After an on-line requisition is made available to Procurement, Procurement works with the requesting department in considering potential suppliers. If written bids, quotations, or proposals are appropriate, Procurement prepares and communicates solicitations to prospective suppliers. Procurement and the department select the supplier based on the University's policies.

External Affirmative Action—The University is committed to doing business with small minority-owned and women-owned businesses when they can supply products or services that meet the University's needs (see guide memo External Affirmative Action).

Purchase Orders and Contracts

Procurement is authorized to assign a contract number to formal contracts and a purchase order number to oral and written orders. Unless otherwise authorized by the Board of Trustees or delegated authority from the Director of Procurement. No other University department may assign contract or purchase order numbers in acquisition of products or services.

Procurement numbers serve as a common identification between University records and those of the supplier, and they aid in relating the transaction to other papers and files.

Purchase Order—When a Procurement buyer places a single order with the selected supplier for an acquisition, that transaction is a purchase order. If a written purchase order is needed, Procurement prepares one and sends it to the supplier.

Contracts—A written contract may be appropriate instead of a purchase order in the following circumstances:

- The nature of the work and obligations of the parties must be set out in detail and specificity.
- Payment terms are complicated and require special handling.
- Equipment being acquired is unusual, unique, or special. Examples include situations where design, engineering, testing, or other special factors might be risks of the transaction.
- For consulting services.
- For research.
- For construction or installation of fixtures which may expose the University to liability to third parties.or blanket orders (see guide memo Blanket Purchase Orders).
- For license agreements, rentals, and leases (See guide memo Leases and Loans).

Modifications—When the product, service, or terms of acquisition must be changed for the acquisition to meet the University's needs, the department is responsible for initiating an on-line requisition to authorize the change. Requisitions for change or modification should be promptly processed by University departments. A failure to do so may result in no delivery of the product or service or nonpayment of the supplier.

Delivery and Receiving

Delivery Points—

1. *General Shipments*—Most campus shipments are delivered directly to the ordering department by the supplier or shipper. In some cases, the shipments are delivered to the University's receiving dock for campus deliveries. Most shipments for University departments in the Medical School are delivered to the receiving dock. Delivery services transports the item(s) from the dock to the departments. If there are questions or special requirements concerning a delivery, a Procurement buyer can advise on the appropriate manner, place, and terms of delivery to be included in an order.

2. *Radioactive Shipments*—Radioactive materials may not be delivered directly to any department. All shipments of radioactive material go to the hospital dock for examination by Health Physics and assignment of a CRA (Controlled Radiation Authorization) number. After examination by Health Physics, either Delivery Services or Health Physics will deliver the product to the department.

3. *Biohazard Shipments*—Biohazardous material may be delivered directly to University departments, however, each department is responsible for ensuring a department representative is available to receive the shipment and safe handling of such products occurs upon delivery.

Certification of Receipt or Acceptance—The Certification of Receipt or Acceptance procedure is used when technical evaluation and tests are required to determine whether specifications, quality, or performance requirements of a custom manufactured or expensive product or service have been met. If specific acceptance (rather than a simple receipt) is required, the requisition originator requests the procedure in the remarks section of the online requisition. The Certification of Receipt or Acceptance is done on line in UNAP Receiving by the department chair, principal investigator, or administrative officer. The certification procedure informs Accounts Payable that the product or service was received or accepted and may be paid for (see guide memo Payment Policies).

Criteria for Use—Certification of Receipt or Acceptance is appropriate when—

- Performance of the equipment cannot be determined by inspection alone.
- A department head, principal investigator, or administrative officer requests it.
- The equipment is intended to be used for a specific purpose.
- The decision is made to keep material previously ordered on approval.
- Installation is to be made by the supplier.
- Material is manufactured to the University's or a supplier's specifications and the material is not part of the supplier's regular production.
- The manufacturer's warranty does not provide an adequate remedy for defects.
- The financial exposure may be large.
- The circumstances of the purchase are unusual, or there is doubt that the user will receive satisfactory and workable material or services.

Receiving and Acceptance—See the Administrator's Toolkit for information on receiving and acceptance procedures.

Contract Administration

Procurement works with departments and suppliers from release of the order until delivery is made to ensure the supplier and the University comply with their mutual obligations.

Expediting—Procurement expedites orders when notified by a department or supplier that an order needs special attention, e.g., a delivery failed to come in as expected, etc.

Claims—The University department is primarily responsible for administering shipping claims. If Procurement was involved in the transaction, Procurement assists departments in handling damage claims, return or repair of defective items, and/or return of the item delivered when the wrong product was shipped. For losses or damage over $1,000, the Insurance/Risk Management Office may be contacted for assistance.

U.S. Customs—Procurement assists departments in complying with U.S. Customs, filling out, signing, and submitting applications for duty-free entry of scientific instruments, and permits for importation of organisms and biological vectors. Note: Procurement uses the services of the University's exclusive customs broker and preferred vendor for logistics services and encourages University departments to do the same. Contact Procurement for more information.

PAYMENT POLICIES

This guide memo describes the University's policies on payments to vendors for materials or services ordered. Section headings are the following:

1. Freight Bills
2. Payments for Products or Services
3. Ratification of Confirming and Received Orders

Freight Bills

Prompt Payment Required—Federal and state regulations require the University to pay all freight bills within seven days of receipt. Accordingly, departments must send the freight bill to Accounts Payable as soon as received.

Terms—Procurement attempts to negotiate standard terms of free on board (FOB) destination. That means the title and risk of loss of the item are passed to the University upon delivery of an item at the University or any other specified destination. If those terms are not acceptable to the vendor, Procurement negotiates to have the vendor prepay transportation charges and add them as a separate charge on the invoice. However, if shipping charges are not known and not included on the issued purchase order, the vendor may prepay freight and separately invoice for shipping costs.

1. *Payment for Freight Delivery Under a Purchase Order*—If any department receives a freight invoice for a product obtained under an issued purchase order, a department representative should write the purchase

order number on the invoice, then forward it promptly to Accounts Payable for payment.

2. *Payment for Freight Delivery Without a Purchase Order*—If any department receives a freight invoice and no purchase order has been issued, prepare an on-line Rapid Purchase Order or standard requisition, as appropriate for the amount of the bill, and forward the invoice with a transmittal sheet to Accounts Payable for payment.

Products or Services

Accounts Payable pays invoices in accordance with payment terms negotiated or secured by Procurement. Accounts Payable may, at its discretion, verify receipt or acceptance of products or services before paying any invoice.

Purchase Orders—Marking the item as received in UNAP Receiving indicates to Accounts Payable that the invoice may be paid.

1. *Items Requiring Certification of Receipt or Acceptance*—Accounts Payable does not pay the invoice until evaluation has been completed and the item has been accepted (see guide memo Requisition Processing).

Note: The department should not mark the item as received in UNAP Receiving until it is accepted. The receiving record must be routed to the authorized person for acceptance.

2. *Capital Equipment and High-Value Noncapital Purchases*—For capital equipment and noncapital purchases of $5,000 or more, Accounts Payable requires approval through UNAP Receiving before paying the invoice.

3. *Low-Value Noncapital Purchases*—For noncapital purchases between $1,000 and $5,000, Accounts Payable sends the department a written notice of intent to pay the invoice within a stated time (typically 10 days). If the department does not object to this written notice, the department's consent will be presumed and Accounts Payable will pay the invoice.

Blanket Purchase Orders—

1. *Verification*—Accounts Payable will start the payment process for the transaction upon receiving one of the following:

- An invoice listing the blanket order number and any applicable Blanket Order Release (BOR) number and an on-line BOR in the UNAP system.
- An invoice with a purchase order number noted on it, along with a delivery tag.

2. *Void Transactions*—Accounts Payable will not pay any invoice that exceeds either the per transaction limitation on individual orders under a blanket, or the not-to-exceed total of the blanket purchase order.

Price Differences Between Invoice and Purchase Order—For a number of reasons, the invoiced amount may differ from the dollar amount approved on the purchase order or service contract. If the invoice amount exceeds the amount on the purchase document, the Accounts Payable processor is authorized to pay the invoice amount without a written change order in the following situations:

- A Rapid Purchase Order where the difference is not more than 10 percent, provided that the maximum payment does not exceed $1,000, including taxes and excluding freight charges.
- A standard purchase order where the difference is not more than 10 percent of the purchase order amount and the total difference does not exceed $250.

Periodic Payment Orders—

1. Purpose—A Periodic Payment Order authorizes Accounts Payable to make a fixed payment at fixed intervals for a specific period of time. This method is useful for equipment rental or maintenance, where the charge remains constant unless something unusual occurs.

2. Schedule—A Periodic Payment Schedule is established by Procurement in consultation with the requesting department and supplier. Under a periodic payment order the requesting department's responsibilities include:

- Verifying that Accounts Payable pays only valid charges for services or goods the department receives.
- Maintaining records for audit purposes.

Ratification of Confirming and Received Orders

As set forth in guide memo Procurement Policies, only Procurement has Board authorization to make purchases for the University of $1,000 or more. The University and Procurement may refuse to ratify purchases made by unauthorized personnel.

Unless a requisition has been processed by Procurement, or a rapid purchase order has been used, a transaction is not an authorized University order and will not have a purchase order number. If Accounts Payable receives an invoice without a purchase order number, Accounts Payable will return the invoice to the sender unpaid.

If Procurement does not ratify the transaction, Procurement returns the paperwork to the department. If a supplier contacts Procurement or Accounts Payable about the unpaid invoice, the supplier will be advised that the transaction was not authorized business, and that the University is not responsible for payment.

Purchases of Capital Equipment—Buying capital equipment or components for fabrication without authorization is particularly unwise because of the risk of disallowance by government auditors (for example, if the cost incurred is not allowable or not allocable to the sponsored project account being charged). If a department has ordered capital equipment without going through the Department Property Administrator (DPA) and Procurement, the person responsible must submit the following to the DPA:

- An on-line requisition properly filled out and conspicuously noted "confirming and received" in either the description or the remarks field.
- The original invoice and one copy.
- A justification memo documenting the price and selection of supplier.
- Any other relevant information that may affect the decision to ratify the transaction.

If the DPA approves the purchase, the DPA forwards the documentation to Procurement. Procurement reviews the documentation and determines whether or not to process the form and ratify the transaction.

Noncapital Purchases—To request ratification of a confirming and received purchase of services, goods, or supplies, the department prepares the same documentation as for capital equipment and submits it directly to Procurement.

BLANKET PURCHASE ORDERS

This guide memo contains policies on blanket purchase orders. For procedures for setting up and using blanket purchase orders, see the Administrator's Toolkit. Section headings for this guide memo are the following:

1. Purpose of Blanket Purchase Orders
2. Departmental Blanket Purchase Orders
3. Universitywide Blanket Purchase Orders

Purpose of Blanket Purchase Orders

If a department frequently needs supplies or services from the same supplier, Procurement may establish a blanket purchase order. Blanket purchase orders are established for varying periods, and allow the department to order directly from the supplier. The blanket purchase order contains ordering and billing instructions, a price agreement, and a description of the goods or services that can be ordered.

Departmental Blanket Purchase Orders

Audit Trail—The ordering department is responsible for maintaining a complete audit trail of transactions under a blanket purchase order. This includes administering and documenting the authority for issuing orders and maintaining records of transactions.

Change of Scope—To change any blanket order terms, the department should initiate a formal change order using an on-line UNAP Purchasing requisition.

Universitywide Blanket Purchase Orders

The Procurement Department may determine that the interests of productive business dictate a consolidation of business activity. If many departments use one supplier, then Procurement may establish a universitywide blanket purchase order with that vendor.

Blanket Order Release—Because many departments and account numbers are covered by universitywide blankets, departments must use a blanket order release (BOR) so that Accounts Payable can charge the appropriate account. Some low dollar value Universitywide blanket purchase order agreements allow a vendor's delivery tag or route sheet to serve as a blanket order release.

Temporary Service Agency Agreements are established on a universitywide basis every two years. For information about approved agencies, call Procurement. To obtain temporary service help from an agency on the approved list, the department gives the chosen agency an appropriate account number and the agency enters the number on its invoice. The invoice and a copy of the temporary employee's time sheet (previously approved and signed by the department representative at the end of the employee's work) are sent to Accounts Payable for payment.

Vendor-supplied Forms—The University has allowed certain vendors (Federal Express, among others) to supply departments with the vendor's forms preprinted with the department's account number. The department uses the preprinted vendor order form to obtain service. These preprinted forms serve as receipt for delivery of products or services. The vendor sends an invoice to Accounts Payable that itemizes charges for each account. A variation of this approach is to prepay for vendor supplied forms (i.e., Federal Express stamps) which eliminates the need for subsequent invoicing.

LEASES AND LOANS

This guide memo describes two procurement options available to the University other than purchasing equipment outright. Under no circumstances may any department other than Procurement or the Chief Financial Officer sign any document that might commit the University to a lease or loan, without specific written Board of Trustees authority. Section headings are as follows:

1. Lease and Loan Options
2. UNAP Requisition
3. Contractual Considerations
4. Insurance Coverage
5. Receiving
6. Change of Terms
7. Return of Equipment

Lease and Loan Options

Lease—In certain circumstances, leasing an item may be preferable to buying it. Procurement can help departments with a lease/buy analysis. The following factors may suggest that a lease is appropriate:

- Technology is advancing swiftly; a department may prefer to lease newer machines as they become available.
- The department is uncertain of its current preferences or future needs and wants to learn from experience.
- The budget is sufficient only for a lease, or a lease with option to buy, but not an immediate purchase. In this situation departments should contact the Controller's Office Capital Budget Coordinator to explore financing the purchase.

Loan—A loan occurs when the University receives free use of equipment. A manufacturer may lend the University experimental or prototype equipment which needs testing under regular operating conditions. Even though no payment is involved, other liabilities, such as insurance coverage and repair costs, need to be covered by a loan agreement negotiated by Procurement.

UNAP Requisition

Creating the Lease or Loan—To arrange a lease or loan, departments submit an on-line requisition to Procurement. In addition to standard information, the requisition should include the following:

- Complete description of the property
- Length of time the property will be kept

- Market value
- Whether the department may at some point wish to purchase the item

The department must attach copies of all correspondence it has had with the owner to the UNAP attachment page and forward to Procurement.

Purchase at the End of the Agreement—To buy capital equipment at the end of a lease or loan period, the department submits another UNAP requisition. The purchase requisition must include the following:

- A notation that the described property is at the University as part of a lease or loan
- The number of the initial requisition that set up the lease or loan
- A detailed description of the equipment, including its condition
- A capital equipment general ledger (GL) code

Contractual Considerations

Lease—The lease agreement normally includes at least the following elements:

- Term of the lease
- Property, sales, and other tax liability
- Purchase option, if any
- Maintenance period
- Termination clauses
- Liability in case of loss or damage to the equipment or other property or injury to people
- Responsibility for moving the equipment within the campus
- Return of the property
- Payments, periodic or otherwise

Loan—A loan agreement normally includes at least the following elements:

- Any rights of owner to use the equipment while it is at the University
- Estimated or specified length of loan
- Who pays transportation and maintenance costs
- Affirmation that the University has made no commitment to purchase the item
- Liability in case of loss or damage to the equipment or other property or injury to people
- Responsibility for moving the equipment within the campus

Insurance Coverage

The University's negotiating goal is for the lessor's or lender's insurance to cover all aspects of damage and injury related to the property. Because the University's high deductible on its own insurance coverage makes it unlikely that our insurance carrier would pay for any loss or damage, the supplier's insurance is very important.

For more information, call Procurement or the Director of Insurance/Risk Management.

Receiving

Inspection—Inspecting leased or loaned equipment is equally as important as inspecting equipment that has been purchased. The using department must verify and document the condition of the equipment when received. As with a purchase of equipment of similar value, Procurement and the department decide whether to require a Certification of Receipt or Acceptance.

Start and Stop Dates—Departments must observe the start and stop dates of the lease or loan. Using the item outside the terms of the agreement may subject the University to additional rental charges or other liabilities, and the supplier's insurance may be valid only during the stated period.

Change of Terms
To extend the duration of a lease or loan, the department should send a requisition to Procurement requesting that Procurement negotiate a change order with the supplier.

Return of Equipment
Unless the department wishes to buy the equipment, a purchase requisition is not necessary to return the item at the end of the lease or loan. A memo to Procurement is sufficient. Procurement will notify the owner and make shipping arrangements.

RAPID PURCHASE ORDERS

This guide memo contains policies on use of the rapid purchase order (RPO) in UNAP Purchasing for purchases made directly by departments of goods or services. Section headings are as follows:

1. Authority to Purchase
2. Alternatives to Use of RPO
3. Criteria for Use
4. External Affirmative Action

Authority to Purchase
Delegation of Authority—This guide memo delegates to University departments signature authorization for ordering supplies and services (except for transactions noted under Uses Not Allowed below) directly from vendors when the total cost of the purchase is less than $1,000, subject to the limitations contained in this guide memo. A department may delegate such authority to those individuals authorized to approve departmental expenditures or to a selected subsection of that group.

Department Responsibility—With this delegation of authority comes the responsibility for departments to observe all University policies and procedures related to purchases and to observe all government laws and regulations (state and federal) that apply to the commercial transactions placed via the rapid purchase order (RPO). Departments should read all purchasing-related material in this chapter. Detailed information on RPO procedures is available in the Administrator's Toolkit. In addition, copies of the Procurement Manual are available in the Procurement Department for reference.

Audit—All University transactions, including those using this procedure, are subject to review by internal and external auditors for compliance with sound business practices, institutional policies and procedures, and any applicable laws and regulations.

Procurement Assistance—Procurement is available to consult with departments on the use of the rapid purchase order procedure. For assistance, call the buyer who purchases the commodity to be ordered or the Procurement information numbers.

Alternatives to RPO
Internal Sources—Goods or services obtained from University service departments may offer price and delivery advantages over using an outside vendor.

Standard Purchase Requisitions—Departments may choose to submit a standard purchase requisition (STD) to Procurement instead of using an RPO.

Criteria for Use
Basic Criteria—A department may place an RPO for supplies or services directly with a vendor when the order meets the following criteria:

- The total amount of the order is less than $1,000 including tax but excluding freight.
- The price paid for any item purchased with a RPO is fair, reasonable, and most advantageous to the university—price, quality, and other factors considered. Electronic approval of a RPO by an authorized department representative constitutes a determination and documentation by that representative of fair, reasonable, and most advantageous pricing or cost.

- Freight charges will be prepaid by the vendor and added to the bill so that the University will not receive a separate invoice from the freight company. Note that although freight charges are not included in the $1,000 limitation, the amount charged for freight will be included when the transaction appears on the expenditure or operating statement for the account. As a result, the total amount of the transaction may be over the applicable dollar limits on the statement.

Blanket Orders—Procurement recommends that departments not renew blanket orders or maintenance agreements that have not-to- exceed amounts of $1,000 or less per year but to use RPOs instead. If a department contemplates making many purchases per year from one vendor, the department should consult with Procurement on the advisability of establishing a blanket purchase order or maintenance agreement with the vendor (see guide memo 54.2).

Capital Equipment—

1. *Fabrication Components*—An RPO or Stores order that includes the Fabrication Number may be used for fabrication components under $1,000.

2. *Equipment*—An RPO may be used to purchase equipment under $1,000. Pre-purchase screening is required. The department is responsible for making sure that any sponsoring agency prior approval requirements have been met and documented.

Chemicals—Chemicals may be purchased using the RPO provided the chemical being purchased is fully identified on the RPO. Data on chemical usage obtained from UNAP are used for reports required by government agencies.

Impractical Uses—Although it is not the intent of this guide memo to place undue restrictions on use of the RPO, there are certain areas where it is impractical to use it and others where some vendors will not accept orders directly from departments. Such areas include:

- Where Procurement orders directly from manufacturers via a direct computer link.
- Orders to large manufacturers in which pricing and stock numbers are complicated and require special processing. For these purchases, use an on-line standard requisition (STD).

Uses Not Allowed—Because of the special nature of certain materials and services, the rapid purchase procedure is not available in the following circumstances:

- Contracts, leases, and transactions related to real estate or construction.
- Biohazards, compressed gases (including lecture bottles), firearms, explosives, and radioactive material.
- Controlled substances, including narcotics, drugs, and ethyl alcohol.
- If a proposed vendor is a University employee or student, a relative of an employee or student, or is owned by a University employee or student, or relative of either, there may be a conflict of interest.
- Reimbursable and personal expenses, including travel, registration fees, and other out-of-pocket expenses.
- Items and services already covered by the ordering department's existing blanket orders or maintenance agreements. Use the ordering procedures in place under these agreements (but see Department Responsibility above regarding substitution of the RPO for low-value blankets and maintenance agreements when the existing contract expires).
- Segments of a transaction when the transaction, viewed as a whole, exceeds $1,000 (excluding freight charges).
- Personal services obtained from an individual (use UNAP Checks).

External Affirmative Action

Department Responsibility—The University is committed to doing business with small minority-owned and woman-owned businesses. Departments should seek and use those who can supply their needs, whether or not funding occurs from government sources.

Public Law 95-507—If the department is placing an order under a federally sponsored contract over $500,000, then Public Law 95-507 (Title I Amendments to the Small Businesses Act of 1958) applies to the transaction. Such University-government contracts normally contain subcontracting plans that commit the University to make efforts to place orders with small and minority-owned businesses, to report to the government on all

purchases by size of supplier, to maintain certain records, and to cooperate with the Small Business Administration during audits.

For more information, see guide memo External Affirmative Action, Sponsored Projects Manual Chapter 9, or call Procurement's Subcontracting Coordinator.

Reporting—Procurement files periodic reports to the government on spending under contracts with subcontracting plans. Because Procurement does not process RPO orders, departments are responsible for documenting search efforts and for keeping all records on the transaction.

CENTRAL STORES

This guide memo covers policies related to the University's Central Stores. Procedures for ordering from Stores may be found in the Administrator's Toolkit. Section headings are as follows:

1. Commonly Used Items
2. Returned Items Policy
3. Ethyl Alcohol
4. Compressed and Liquefied Gases

Commonly Used Items

Departments are encouraged to use the services of Central Stores for commonly used items. Employees may make personal purchases at Central Stores convenience store. Central Stores maintains an on-line catalog available through Prism. The catalog contains detailed instructions for ordering. Inventory items not stocked at the Central Stores or Electrical Engineering (E.E.) Stores facilities can usually be delivered within 48 hours to departments through the stores electronic data interchange (EDI) system from other outside suppliers. Products listed in the catalog include:

- Medical Supplies
- Housekeeping Supplies
- Computer/Photographic
- Laboratory Supplies
- Compressed and Liquefied Gases
- Paint, Hardware, and Hand Tools
- Electrical Appliances, Electronics, and Parts
- Metals and Specialty Items (E.E. Stores only)
- Office Supplies

Returned Items Policy

Departments may return items originally bought from Central Stores. The following conditions are required:

- Central Stores provided the item.
- The amount returned is in full units of issue.
- The material is "new" condition.
- The material is in the original packaging.
- The original Stores Requisition Number is provided.
- Purchase date of the item is less than six months previous.
- The value of the item is greater than $10.
- Software without shrink wrap generally is not returnable. Also, software must be returned within 30 days of purchase.
- All chemicals are properly packaged and labeled.

Ethyl Alcohol

Tax-Free Permit—Ethyl alcohol can only be sold to University accounts located on campus. The Internal Revenue Service rigidly controls the use of ethyl alcohol. Under a "tax-free" permit, the University buys ethyl alcohol for educational and research purposes without paying the federal excise tax. Central Stores and departments must keep complete records on use of such alcohol. When departments receive ethyl alcohol, they become responsible for keeping records of subsequent use or disposal. Departments are liable for federal excise taxes assessed on all unaccounted for alcohol. Stores affixes a black and yellow label, explaining IRS rules and regulations in detail, on every ethyl alcohol container.

Central Stores Approval—Before placing the first order for alcohol through UNAP Purchasing , the department must obtain approval from Central Stores. Call Central Stores Customer Service for more information.

Compressed and Liquefied Gases

Gas cylinders remain the property of the supplier who rents them to the University. Central Stores is responsible for the distribution, accounting, and control of cylinders on campus. Departments are liable to the vendors for missing cylinders. If a cylinder or cylinder cap is lost or stolen, Stores will bill the department for the cost of a new cylinder or cap.

SURPLUS PROPERTY SALES

This guide memo covers sale of surplus University property and purchases from the State Agency for Surplus Property. Section headings are as follows:

1. Authority to Transact Sales
2. Sales Tax
3. Basic Sale Policies
4. Sales Requiring Particular Caution
5. Purchases from State Agency for Surplus Property

Authority to Transact Sales

Surplus Property Sales Office—The mission of the Surplus Property Sales office (SPS) is to sell University property for the best possible price. The Board of Trustees has authorized only SPS to perform this function (Resolution Number 3 September 13, 1983). Therefore, the only entity authorized to sell equipment to nonuniversity entities is SPS.

University Departments—Departments may transfer property to other departments, either for no charge or for credit to departmental accounts. The transferring and receiving departments must notify the University Property Administrator of a transfer. Refer to the Equipment Administration Manual for transfer procedures.

Departments may not give or sell property to individuals, including University employees, or to nonuniversity entities. If a department arranges to sell property to a buyer, the sale transaction must go through SPS. The check from the buyer must be made payable to the University and must include sales tax.

Sales Tax

Transfer Between University Departments—Because title to the item remains in the University, there is no sales tax on a transfer to another University department.

Sales or Transfers to Related Organizations—Sales tax applies when a University department transfers property to an affiliated organization that is not a part of the University; for example, when the receiving department is a part of the University Hospital.

Sales to Individuals and Outside Organizations—Sales tax applies.

Basic Sale Policies

Request Form and Routing—Departments use an interdepartmental request (SU-13) to initiate a sale. The SU-13 must be routed to the University Property Administrator for sale of capital equipment and associated items. The Administrator's Toolkit contains detailed information.

Sales Commission—SPS charges a commission on sales. The commission schedule is reviewed and approved annually as part of the University's budget process. All commission income is used to offset operating expenses.

Appraisal—Any appraisal fees will be deducted from the proceeds of the sale, or charged to the department if no sale occurs.

Proceeds—The sale proceeds for any University property, including gifts to University departments of personal property, surplus items, scrap, and salvage belong to the University. The net amount from the sale is usually credited to the same department account from which the original purchase was made.

Property Pickup—In most situations SPS can provide one mover to pick up the property. If more than one mover is needed, the department should make arrangements with the Labor Shop in Operations and Maintenance, or with Hospital Engineering if a Medical Center department.

Delivery—Buyers are responsible for removing and transporting items they buy. SPS will make limited delivery under certain circumstances for a prearranged charge. This will be at the SPS Manager's discretion.

Sale Records—After the equipment is sold, SPS prepares a bill of sale and distributes copies to the buyer and selling department; one copy is retained by SPS. The buyer may not take possession of the equipment until the buyer has signed and returned the bill of sale. SPS keeps monthly and annual sales reports.

Equipment Inventory Update—SPS maintains records of all capital equipment which has been sold, scrapped, or returned to the department. A monthly report of this data is sent to the University Property Administrator (UPA). On receipt of the report, the UPA closes property records that are still open.

Unsold Property—If property is not sold within 90 days, SPS will dispose of the property. Marginally salable items, as defined by the SPS Manager, will be kept for 30 days only; if not sold, they will be scrapped.

Refused Property—If SPS determines that property is not marketable in its present condition and refurbishing effort is not advisable, SPS will refuse the equipment and the requesting department must dispose of it. With exceptions, SPS will refuse any equipment that does not work.

Sales Requiring Particular Caution

Property Bought with Government Funds—Prior to any sale, the UPA must verify title and disposition instructions for capital equipment and fabrications purchased with government funds. For more information about title vesting, see the Equipment Administration Manual, available from the UPA office.

1. *Government Funded, University Titled Capital Equipment*—If the equipment is no longer needed for the original project, it may under certain circumstances be loaned or transferred to another project. The grant or contract may set out an accountability period which must expire before the University can sell equipment purchased with government funds and to which the University has taken title. See the Equipment Administration Manual for more information.

2. *Government- or Other Sponsor-Owned Equipment*—The UPA determines whether the equipment can be sold without prior authorization from the sponsor.

Donated Equipment—Internal Revenue Service requirements may restrict or prohibit sale of donated equipment.

Refused Property—If equipment is non-functional, contact the UPA office for clearance of the equipment inventory system record before disposing of the equipment.

Hazardous Equipment—

1. *Contamination Risk*—If the property might be contaminated in any way, the department must contact the Department of Environmental Health & Safety (EH&S), which can assist and advise on cleaning the equipment before the department submits the SU-13. While the following list is not exhaustive or final, most equipment requiring safety clearance from either Health & Safety or Health Physics is included here. Any other types of equipment that appear to need clearance are handled accordingly. Call EH&S for more information.

Animal cages
Biological safety hoods (also known as laminar flow hoods)
Centrifuges and accessories (rotors, shields, unions, rings, cups)
Electrophoresis apparatus (not power supplies)
Ethylene oxide sterilizers
Fraction collectors
Freeze-dryers

Fume hoods & accessories
Furnaces
Glove boxes
Incubators
Laboratory glassware washing equipment
Laboratory pumps
Laminar flow clean benches
Microtomes
Mixers
Ovens
Reagent storage cabinets
Refrigerators and freezers (unless from Food Services)
Scintillation, gamma, or otherwise labeled radioactive counters
Water baths

Note: SPS does not dispose of chemical, biological, or other forms of waste.

2. *Injury Potential*—If a piece of property might cause injury to someone browsing through SPS's inventory, the department must so note on the SU-13. SPS and the department will discuss whether the property should remain with the department so that only people familiar with the equipment will handle it.

3. *Government Safety Standards*—If a piece of equipment does not meet applicable government safety standards, the department must so indicate on the SU-13. (For example, lasers, PCB's in transformers, etc.)

Software and Sensitive Data-Before delivery to Surplus Property for sale of any computer or computer peripheral device containing University information, the selling department should take steps to permanently remove the information. Special care should be taken with licensed application software to ensure that the terms of the licensing agreement regarding sale or transfer have been observed.

Purchases from State Agency for Surplus Property

SPS also handles University acquisition of items from the State Agency for Surplus Property, part of the California State Department of Education. Departments interested in items available from the agency must submit an SU-13 to SPS. The Board of Trustees has authorized only Procurement management and SPS to order from the agency. Arrangements purporting to obligate the University to pay for purchases by individuals other than those specifically designated are not University transactions, and individuals making these arrangements may be asked to pay the bills themselves.

BOOKS, PERIODICALS, AND MEMBERSHIP DUES

This guide memo describes policies on making purchases from the University Bookstore or directly from publishers. Departments are encouraged to check Central Stores inventory before ordering supplies from any other source.

Section headings for this guide memo are as follows:

1. University Bookstore Purchases
2. Direct Orders for Books, Subscriptions, and Membership Dues
3. Reimbursements for Cash Purchases

University Bookstore Purchases

University Bookstore Requisition (SU-12)—Departments order books and supplies from the bookstore using the University bookstore requisition (SU-12). Departments are encouraged to go to the Bookstore to make purchases by presenting the requisition and University employee identification. Bookstore requisition forms may also be mailed to the Bookstore. In this case, the bookstore will call the department when material is ready for pickup at the customer service desk. When orders involve heavy material or unusual situations, the Bookstore will deliver material to the department.

Order Limits for SU-12—

1. *Orders Without Itemized Lists*—Books and supplies with a unit cost not exceeding $25 and a total cost not exceeding the petty cash limit (currently $75) may be purchased without listing individual items purchased on the SU-12. Enter a general description such as "miscellaneous supplies" on one line of the SU-12.

2. *Orders Requiring Itemized Lists*—Supplies with a unit cost over $25 but not exceeding $1,000 and any books with a unit cost over $25 may be purchased from the Bookstore by listing each item separately on the SU-12.

Books Not Stocked in Bookstore—When books are not available in stock, the bookstore will order from a book wholesaler or publisher. Books will be shipped directly from the wholesaler or publisher to the department.

Purchasing with Grant or Contract Funds—When grant or contract funds are used for Bookstore purchases, the department requesting the purchase is responsible for ensuring that the purchases are authorized by the funding source. In some cases, low-cost items such as calculators are viewed in grants or contracts as general purpose equipment and may not be purchased without advance approval by the funding source. Contact the Sponsored Projects Office or the Grant and Contract Accounting section of the Controller's Office for more information.

Direct Orders for Books, Subscriptions, and Membership Dues

Direct orders for books, periodical subscriptions, and membership dues should be processed by using UNAP Checks. See the Administrator's Toolkit for more information.

Reimbursements for Cash Purchases

Requesting Reimbursement—Reimbursement of an individual's personal expenditure for books, subscriptions, or membership dues with subscriptions can be made through petty cash if the items are within current petty cash dollar limits. All other reimbursement requests must be made by using UNAP Checks.

Receipt Required—The individual is responsible for providing an original receipt showing proof of payment with the request for reimbursement. A copy of the personal check after processing by the bank can serve as a receipt if none is provided by the supplier.

University Vehicles

The following administrative procedure for acquisition and ownership of motor vehicles must be followed in order to comply with applicable Board of Trustees' policies..Section headings for this guide memo are as follows:

1. Use of University Fleet
2. Administrative Responsibilities
3. Methods of Acquisition
4. Vehicle Number and Registration
5. Insurance
6. Replacing a Vehicle Now in the Fleet
7. Additions to the Fleet
8. Acquisition Responsibilities
9. Inventory Responsibilities

Use of University Fleet

Motor vehicles, boats, and trailers owned by the University become part of the University fleet. University vehicles are for official use of University personnel. Personal use of University vehicles, boats, and trailers is prohibited.

Administrative Responsibilities

Department Responsibilities—The department acquiring the vehicle is responsible for seeing that it is operated properly, cared for, and maintained. The department must use the record- keeping services provided by Operations and Maintenance.

Fleet Garage—The Supervisor of the Fleet Garage is responsible for all aspects of the administration of the fleet including the following:

- Processing departmental requests for procurement and disposal of vehicles.
- Proper accounting and records.
- Processing of Department of Motor Vehicles registration certificates.
- Maintenance of vehicles.

Procurement—The Procurement Department issues the purchase orders for vehicles on receipt of a requisition from a department.

Insurance/Risk Management—The Director of Insurance/Risk Management handles all insurance inquiries.

Methods of Acquisition

A University department may acquire a new or used vehicle via any of the following methods:

Acquisition with University Funds—University policy requires that the purchase price of vehicles acquired with University funds be depreciated over the useful life of the vehicle, and that purchases generally be financed by a loan, either from University funds or from a source of funds outside the University. The Capital Budget Coordinator in the Controller's Office can provide information on financing (see guide memo 53). Section 8 of this Guide memo describes a routine vehicle purchase.

Acquisition with Government Funds—Normally, if a vehicle is acquired with funds provided by a U.S. government contract or grant, the procedures in section 8 apply. Title is normally in the name of the government agency that supplied the funds, in care of the Board of Trustees. However, the University Linear Accelerator Center follows a separate set of U.S. Department of Energy regulations for vehicles operated by SLAC.

Acquisition by Gift—Occasionally a motor vehicle is given to the University. The same records and reports are made and the provisions of this guide memo apply.

Acquisition Through Surplus Property Sales—Vehicles may also be acquired through Surplus Property Sales; however, the procedures for replacing or adding a vehicle below must be followed. If a department is contemplating buying a University vehicle from Surplus Property Sales, the department should consider that it may be buying a vehicle that another department did not think was worth fixing. The department should consult with the Garage Supervisor and previous department for information on the vehicle's condition. The department should have the consent of the Garage Supervisor before acquiring a vehicle from Surplus Property Sales.

Transfer—Intra- or interdepartmental transfers are at the discretion of the department(s) involved. As with a transfer of any other kind of equipment, the department(s) must notify the University Property Administrator and follow procedures set forth in the equipment administration manual. In addition, the Director of Operations and Maintenance must be notified in writing prior to the transfer to assure proper accounting. After notification, the Director of Operations and Maintenance will handle all other paperwork.

Vehicle Number and Registration

Regardless of the method of acquisition, each University vehicle is assigned a fleet number and is registered in the name of the Board of Trustees of the University. The number will not be changed if a vehicle is transferred to another department. The number is retired when the vehicle is sold. If a vehicle is bought from Surplus Property Sales, then the vehicle is returned to the garage to have a University decal and the old vehicle number reaffixed.

Insurance

The University obtains public liability insurance on all fleet vehicles, including those where title is in the name of a government agency, in care of the Board of Trustees.

Replacing a Vehicle Now in the Fleet

Replacement Schedule—As a general guide, a vehicle should be considered for replacement on a five-year or 60,000-mile basis. Low-mileage vehicles, including trucks and vans, should be retained over a longer term.

Approval for Replacement—When a department requests a replacement vehicle, the purchase requisition signed by the appropriate dean, department head, or University officer constitutes the necessary University approval.

Disposition of Replaced Vehicles—When the replacement vehicle is received, the vehicle being retired from service must be released by the department to the University Garage. The department fills out an Interdepartmental Request (SU-13) for disposal of the vehicle, submits the SU-13 to Operations and Maintenance, and then delivers the vehicle to Operations and Maintenance for removal of all University identification. Operations and Maintenance retires the vehicle from the University fleet and then sends it to Surplus Property Sales to be sold. The portion of the proceeds representing return of capital is credited to the University account that financed the purchase. Any gain from the sale is credited to the purchase price of the newly acquired vehicle, or to the department if the vehicle is not replaced.

Additions to the Fleet

A department may at its discretion add to its complement of vehicles, and thus to the University fleet. As with a replacement, the purchase requisition must be signed by the appropriate dean, department head, or University officer.

Acquisition Responsibilities

The requesting department, the Fleet Garage Supervisor, the Controller's Office, and Procurement all take part in the acquisition of a motor vehicle. The acquisition process is as follows:

The Supervisor of the Fleet Garage—Provides advice on the process and initiates the paperwork, including a Vehicle Data Request Form (VDRF), and obtains price quotes from vendors.

The Requesting Department—Screens the capital equipment inventory lists, prepares an on-line requisition, and forwards the price quote to Procurement.

The Garage Supervisor—Advises on mechanical specifications, and inspects vehicles at time of delivery to ensure that specifications are met.

Controller's Office—Administers University financing, which funds most vehicles, and approves fund availability for all vehicles.

Procurement—Provides names of suppliers, negotiates price, terms and delivery, and purchases the vehicle after specifications review by the Supervisor of the Fleet Garage.

Inventory Responsibilities

Every vehicle acquired by any department must be delivered to the Fleet Garage for inventory and University vehicle number assignment before it is used by a department.

PRINTING

This guide memo describes University procedures for procurement of printing and related services. Section headings are as follows:

1. Procurement Through Publication Services
2. Direct Procurement
3. Procurement Through Procurement Department

Procurement Through Publication Services

Professional Assistance and Service Fee—Publication Services offers a production and procurement service designed to help University departments purchase printing efficiently and cost effectively. As a service center, Publication Services is required to break even financially. Publication Services recovers costs by charging a service fee calculated as a percentage of vendor charges. The fee is on a sliding scale: The higher the total job cost, the lower the fee percentage. The fee is generally offset by Publication Services' ability to purchase printing at a significant discount over individual purchases. Publication Services' rates are reviewed and approved annually as part of the University budget process.

How to Order—

- *Business Cards*—Standard business cards may be ordered on PS-103. Custom business cards may be ordered on form PS-102.
- *Annual Envelope Order*—Each year, Publication Services accepts orders for envelopes from many departments at the University for a single bulk order. By contracting with a large envelope firm to process this

bulk order, Publication Services can offer clients the best possible price for standard envelopes—usually at a full 50 percent discount. Publication Services sends a notification to each department to announce the annual order.

All other printing (as well as other publication services) may be ordered on Form PS-102.

Direct Procurement

A department that has staff with print buying expertise and knowledge may procure printing directly from vendors. When they elect to do so, the department and staff are held accountable for compliance with University purchasing policies and federal buying guidelines (see guide memo Rapid Purchase Orders). Thus they are responsible for creation of printing specifications, knowledge of printing trade customs and standards including legal implications to University departments, and acquisition of competitive estimates for jobs over $1,000.

Print Procurement Procedures—

1. *Rapid Purchase Order*—A rapid purchase order (see guide memo Rapid Purchase Orders) may be used for print procurements within the following dollar limits:

- $1,000 when using on-line RPO
- $500 when using paper form SU-25

2. *Purchase Requisition*—The department must obtain three competitive bids from qualified printers for all procurements over $1,000. A printing specification sheet (available from Publication Services) may be used to assist departments in defining printing specifications to ensure equitable bidding by all vendors.

Documentation identifying the responsible staff and, as appropriate, copies of bids and specifications must accompany the "confirming and received" purchase requisition (either on-line or paper SU-10) submitted to Procurement.

Getting Help—Correspondence and questions concerning direct procurement delegation should be sent to Procurement.

Procurement Through Procurement Department

Departments may place orders for printing through Procurement using regular purchasing procedures (see guide memo Requisition Processing). A completed printing specification sheet must accompany the requisition. Departments should also attach any other available information, such as paper samples, publication examples (if a reprint or part of a series), and names of recommended vendors. Printing specification sheet forms are available from Publication Services.

EXTERNAL AFFIRMATIVE ACTION

Section headings for this guide memo are as follows:

1. University Policy
2. Federal Contracts
3. Sources of Business Information

University Policy

The University is committed to increasing significantly the opportunities for minority, women, and disabled people to engage in business with the University.

Purpose—This policy statement supports a long-range plan to enhance the University's external affirmative action. The plan serves to promote diversity through the judicious use of the University's financial and other resources to increase opportunities for minority, women, and disabled people, and businesses owned by them, to participate in economic opportunities arising from University business activities.

Scope—The classes covered by this policy, as defined by the federal government, include Asian, Black, Latino/Hispanic, and Native American, women of all racial/ethnic background, people who are disabled or physically challenged, historically black colleges and universities, and other minority institutions.

Implementation—The President and Provost will provide the leadership for promulgating this policy; howev-

er, responsibility for its implementation rests with individual vice presidents, deans, directors of major institutions and centers, the Chief Executive Officer of the University Management Company, and the heads of other organizations not covered above.

Federal Contracts

Public Law 95-507 and Executive Order 12138 encourage organizations that receive contracts from federal agencies to do business with small and minority-owned businesses and women-owned businesses (regardless of size). The University's responsibilities under these laws are described in detail in the document "Utilization of Small Business Concerns, Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals, and Women-Owned Business Concerns," which is published in the Procurement Manual. Specific questions as to applicability to particular situations should be addressed to the cognizant SPO Officer.

Definitions

Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias because of their identity as a member of a group without regard to their individual qualities. The social disadvantage of individuals must stem from circumstances beyond their control. 13 CFR 124.1-1(c)(3)(i)

Economically disadvantaged individuals are socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities, as compared to others in the same line of business and competitive market area who are not socially disadvantaged. 13 CFR 124.1-1(c)(4)(i)

The Small Business Administration (SBA) has determined the following groups to be socially and economically disadvantaged: Black Americans; Hispanic Americans; Native Americans (American Indians, Eskimos, Aleuts, Native Hawaiians); Asian Pacific Americans (individuals with origins from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, U.S. Trust Territory of the Pacific Islands, Northern Mariana Islands, Laos, Cambodia, or Taiwan) and Asian Indian Americans (individuals with origins from India, Pakistan, or Bangladesh).

Subcontract: "Any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime contractor or subcontractor calling for supplies or services required for the performance of the original contract or subcontract." OFFP Policy Letter 80-2

Under this definition, subcontracting means every purchase order and agreement, as well as other expenses such as travel.

Contracts Affected—

1. *Contracts between $25,000 and $499,999*—Terms of government contracts over $25,000 in value require the University to have a program to ensure business opportunities for small and minority-owned businesses. The University's External Affirmative Action Program meets that requirement.

2. *Contracts $500,000 and Over*—For contracts of $500,000 or more, a specific plan must be made and implemented. A Small Business Liaison Officer (a designated University official) oversees the operation of the plan. Principal Investigators are responsible for establishing percentage goals of subcontracting business (expressed as a proportion of total subcontracting dollars) to be awarded to small and small disadvantaged suppliers. For assistance or information on goals required by specific agencies, contact the Sponsored Projects Office.

Procedures—

1. *Preparing the Subcontracting Plan*—When a request for a subcontracting plan is received from an agency, SPO notifies the cognizant department and Procurement. Procurement and the department meet to review product and service areas with subcontracting opportunities and based on this review determine reasonable goals for the plan. Procurement submits data for the plan to SPO. SPO then writes the subcontracting plan and submits it to the government agency.

2. *Vendor Search*—Departments must investigate small and disadvantaged business possibilities prior to submitting a requisition. Departments that wish further searching to be done by Procurement should so specify in the "Remarks" screen of the requisition, and should attach documentation of the department's search efforts and their results.

3. *Reports*—The federal government requires periodic reports on progress toward the achievement of goals set in a contract's original subcontracting plan. Procurement prepares reports of purchases under each contract and notifies departments of progress against goals.

Sources of Business Information

Directories—To help departments, Procurement maintains small business directories and other resources. All the directories are commodity-indexed. Call Procurement for copies and information.

On-line Access to Supplier Information—On-line information about vendor size, ownership status, and products offered is available to departments with access to the computer system. On a computer system account, enter Prism and select UNAP Vendors. Search for small and minority-owned business by vendor name or commodity sold. Call Procurement for more information.

SBA PASS System—The Small Business Administration has developed the Procurement Automated Source System (PASS), a computerized, commodity-indexed database of small businesses, including minority businesses. Call Procurement for more information.

Procedures

Preparing the Subcontracting Plan—When a request for a subcontracting plan is received from an agency, SPO notifies the cognizant department and Procurement. Procurement and the department meet to review product and services areas with subcontracting opportunities and based on this review determine reasonable goals for the plan. Procurement submits data for the plan to SPO. SPO then writes the subcontracting plan and submits it to the government agency.

"P.L. 95-507" Box on Purchase Requisition—Both the SU-10 and SU-15 purchase requisitions have a box for departments to check if—

- the purchase requisition is $1 million or more (either individually or in the aggregate for related purchases under the same contract), or
- the requisition is submitted under a contract covered by a P.L. 95-507 subcontracting plan.

Departments must investigate small and disadvantaged business possibilities for such requisitions prior to submitting the requisition to Procurement. Departments that wish further searching to be done by Procurement should so specify in the "Remarks" section of the form or the "Remarks" screen of the on-line requisition and should attach documentation of the department's search efforts and their results. Checking the box also helps Procurement monitor these requisitions.

Reports—The federal government requires periodic reports on progress toward the achievement of goals set in a contract's original subcontracting plan. Procurement prepares reports of purchases under each contract and notifies departments of progress against goals.

Records Management

PURPOSE

A records management system is established (in accordance with board policy 3601 and in compliance with state law) to store, preserve, and dispose of all college records no longer needed to transact current departmental or College business. All records and documents, including legal and contractual documents, reports, correspondence, books, photographs, maps and charts, micrographic records, and similar records of college activities, are released to the Records Management Services Office on a regularly scheduled basis.

The Records Management Services Office assists College departments in establishing their records management systems. Administrators, department heads, and committee chairs are responsible for the retention of all records in their custody and should release all records no longer required for the transaction of current business to Records Management Services. Records Management will preserve and maintain the confidentiality of all records and will convert stored records to micrographic form whenever possible for greater security and more effective use.

Departments storing restricted records should designate one or two individuals to be responsible for withdrawing and returning records. Only individuals designated on the Records can withdraw and return records.

RECORDS STORAGE

Records storage procedures are as follows:

1. Records must be listed in the College's records retention schedule (see Appendix "D"). If there are unlisted records, the following information should be given to Records Management Services:

   A. The record title or its identity

   B. A brief description of the record

   C. The source of the record (who creates it and uses it)

2. Records should have a retention period of at least two years to be transferred to Records Management.

3. Records must be accompanied by the two-part Records Transmittal/Receipt form, available in Records Management (see example).

4. Materials should be packed into standard 10" x 12" x 15" archival boxes available at the Records Management Office. Records Management will advise departments on handling/storing out-sized documents such as maps, registers, ledger, etc.

5. Small amounts of records will be accepted if they are packaged and accompanied by the Records Transmittal/Receipt form.

PROCEDURE FOR TRANSFERRING RECORDS

The following procedure is used by departments for transferring records to Records Management:

1. Estimate the number of archival boxes required to hold the records to be transferred.

   A. A letter-size file drawer measures approximately 1-1/2 cubic feet and requires 1-1/2 archival boxes. The ratio is two file drawers to three boxes.

   B. A legal-size file drawer measures approximately two cubic feet and requires two archival boxes.

2. Request the archival boxes and at least an equal number of Records Transmittal/Receipt forms from Records Management. Return unused boxes and forms.

3. The department first removes nonessential materials such as extra copies of letters, magazines, or other miscellaneous matter before packing.

4. Records are grouped into batches by disposal date (see Appendix "D").

5. One Records Transmittal/Receipt must be completed for each batch of records in the shipment. A batch may contain several boxes.

6. Restricted and non-restricted records will not be housed in the same container, but should be packaged separately, with a separate Transmittal/Receipt form.

7. All records are placed in proper sequence, in original folders or in folders easily identifiable. Records are stored vertically in the box and should not be packed too tightly. Approximately 1- 1/2 inches should be left in each container if the file is expected to be semi-active (2-6 retrievals per year).

8. Boxes are numbered consecutively in each shipment. The name of the department/office, box number, and date are written conspicuously on the lower right corner on the front end of each box.

9. Both copies of the Transmittal/Receipt form are sent with the properly identified archival boxes to Records Management. The yellow copy of the form is returned to the department after an accession number has been assigned. The accession number is the identifying key for each group of records received in the Archives/Records Center. It is given at the time a request is submitted for retrieval of records.

10. If departmental records are permanent, they are processed and an index sheet (Records Inventory and Retrieval Guide, form 1031) is sent to the department. It will show a listing of departmental records retained in the Archives and will contain information needed for their retrieval at a later date.

RETRIEVAL AND USE OF STORED RECORDS

Stored records maintained by Records Management that are needed for reference may be loaned to the originating department, its successor, or other designated individuals for administrative or legal use.

Retrieval of records is requested in the following manner:

> The accession number and box number(s) of the records required are given to the Records Management Office staff. If one record or a portion of a record is to be retrieved, the name of the record and/or file folder or other identification is given. Requests are made by an authorized department representative by phone, in writing, or in person.

Departments may use the records requested in one of the following ways:

1. Review records or perform research (if required) in the Records Management Services Office.
2. Request that records be delivered to the requesting department.
3. Request that a copy of the record be made.
4. Request information by phone (if easily accessible).

Requested records will be delivered in person by a member of the Records Management Services Office staff, will be sent by inner-campus mail, or may be picked up in person.

MICROFILMED RECORDS

In most cases, current record users will have microfiche copies available for viewing in their work areas. Updates to records will be filmed on a regular basis.

Noncurrent microfilmed records may be viewed in the Records Management Office. A duplicate of the microfilm may be made or a hard copy provided.

TERMINATION/TRANSFER OF A DEPARTMENT

When an office is terminated, its records are transferred to Records Management for proper retention and disposal. When an office is transferred or becomes a part of another office or department, its records become a part of that department and the responsibility of the administrator of that department.

DESTRUCTION OF RECORDS

Scheduled records will be held in storage for the length of their retention period. Records that require an audit will be retained until after that audit has been completed. When records have reached their destruction date, Records Management will complete a Request for Authority to Destroy Records Form (see example) and send it to the department/office owning the records. The department may either authorize destruction of the records or request that the retention period be extended. If Records Management does not receive a response within 30 days, the records are returned to the department.

PUBLIC ACCESS TO RECORDS

Requests by the public for records and information are received and handled by mail, phone, or in person. The public has a legal right to inspect any public record maintained by the College consistent with ORS 192.001 through ORS 192.500. The records' custodian may establish reasonable times and hours for the inspection of records to coincide with the work load and staffing of the department.

The following guidelines are suggested for responding to requests for information or for the inspection of records by the public:

1. Responses to public requests should be timely and courteous at all times. Delays and runarounds should be carefully avoided.
2. Oral requests should be answered at the time of request if the information is readily available. Normally, a fee is not charged in this case.
3. An appropriate and accurate referral should be given if the information is in another department.

4. If the request is detailed, it should be put in writing in order to avoid omission or misunderstandings. The requestor should be given the approximate cost of obtaining the records in cases involving significant staff time and cost.

5. A "Request for Public Records" (see example) is completed when a request is made.

6. For student records, a "Student Record Release" form must be submitted to the Student Records Office.

7. Reciprocal or cooperative arrangements should be made with other governmental agencies and groups on the exchange or use of records and information.

8. The department head or the Director of Information Services will determine the propriety of any release of records or information when there is a doubt or question.

A reasonable fee is established for request involving significant staff time and cost and may include charges for labor, services, and other costs as follows:

Inspections, only, of records	No charge
Reproduction of records	Per page $.10/copy Per certified copy $.50/copy
Labor	At actual hourly wage of staff member involved, plus the College's payroll fixed cost rate
Facilities (computer, etc.)	Actual direct cost per hour, depending on type of equipment and extent of use

CONTRACTS AND AGREEMENTS

The original copy of each contract and agreement (including attachments, change orders, bonds, etc.) entered into by the College is maintained by Records Management.

The department is responsible for completing an Original Contract and Agreement Transmittal (see example), attaching it to the original document, and delivering it to Records Management. Records Management will distribute all copies to College departments as indicated on the transmittal. Copies to be distributed outside the College are the responsibility of the originating department. Original Contract and Agreement Transmittal forms are available in Records Management.

Records Management Services will make copies of contracts available to qualified persons upon request. Original contract documents may be signed out by qualified individuals at the discretion of Records Management.

[Purchase-1]

RECORDS TRANSMITTAL/RECEIPT

INSTRUCTIONS: The form must accompany all records sent to Records Management Services. Send original to Records Management Services. File Yellow copy

RECORDS MANAGEMENT SERVICES

SENDING DEPARTMENT OR OFFICE	EXTENSION	FOR RECORDS MANAGEMENT SERVICES ONLY
.	.	Accession No. _____ Processed By _____
Retention Period / .	**Destruction Date** / .	**Number of Boxes properly numbered** / .

IS ACCESS TO THIS MATERIAL RESTRICTED? IF RESTRICTED LIST PERSONS AUTHORIZED TO HAVE ACCESS.

____ YES ____ NO _____

SIGNATURE DATE

LIST RECORDS (RECORDS ELIGIBLE FOR DESTRUCTION AT DIFFERENT TIMES SHOULD NOT BE PUT IN SAME BOX. USE SEPARATE SHEETS FOR PERMANENT AND NON-PERMANENT RECORDS)

BOX NO.	RECORD TITLE	INCLUSIVE DATES
.	.	.
.	.	.
.	.	.
.	.	.
.	.	.

[Purchase-2]

RECORDS INVENTORY AND RETRIEVAL GUIDE DEPARTMENT/OFFICE_____ PAPER ____ MICROFILM ____ TAPES ____ TYPE OF RECORDS_____ _____ _____ THROUGH _____	RECORDS MANAGMENT SERVICES ACCESSION NUMBER_____ cubic feet _____ deposited _____ date inventoried_____by_____

Telecommunications Services (1)

The College's telecommunication requirements and facilities are coordinated through and handled by Telecommunications Services. All contacts concerning any services or equipment used in association with the College telephone system should be directed to the Telecommunications Coordinator.

The College Switchboard and Fax Service are located in Room 112A. Hours for the switchboard are 8:00 a.m. to 8:30 p.m. Monday through Thursday, and 8:00 a.m. until 5:00 p.m. on Friday. After hours the switchboard is answered by an electronic call distributor. This equipment allows the caller to receive special announcements and/or be immediately connected to the Safety and Security Department, or departments open late or on weekends (e.g., Recreation Center, Library, and Bookstore). The caller may also remain on the line and be connected to an answering service operator, who will provide any necessary assistance, The fax machine is available for use during switchboard hours; it may receive incoming messages at any time.

Training on the campus telephone system for new, current, and transferred employees is offered at the beginning of each school year, These special classes offer familiarization with the user's unique equipment or system.

Utilization of the following procedural guidelines will allow for the most efficient use of the telephone system.

REQUESTING NEW SERVICE, MOVES, ADDS, OR CHANGES TO EXISTING TELEPHONE SERVICE

To arrange for telephone service, a telephone work request form should be obtained from, completed and returned to the Telecommunications Coordinator. A description of the exact work to be done should be stated in as much detail as possible. In the case of new service, a new phone number will be issued. When ordering telephone service, if equipment is needed, refer to the information below.

REQUESTING NEW OR ADDITIONAL TELEPHONE OR ANCILLARY EQUIPMENT

Because of the actual or potential impact on the College's telephone system, it is necessary to contact the Telecommunications Coordinator to discuss and arrange installation of any telephone and/or ancillary equipment. Telephone Equipment includes ISDN, ITT Aries, plain touchtone and Vantage telephones; ancillary equipment includes answering machines, fax machines, pagers, etc. The purchase requisition for the equipment will be prepared and coordinated by the Telecommunications Office.

Note: Requests should be submitted as promptly as possible because particular types of services or equipment may require one to four weeks to complete.

REQUESTING REPAIR SERVICE

When the repair of telephone service or equipment is needed, please call the telephone repair line. State the problem is as much detail as possible; e.g., telephone number, intercom number, department, building and room, location, etc. Urgent telephone problems should be reported directly to the campus operator by dialing "0." Ancillary equipment problems should be directed to the Telecommunications Coordinator.

Telecommunications Service (2)

IN GENERAL

The College has a NEC NEAX 2400 Telephone System which serves the main campus and the Downtown Center. The College may be reached by dialing 747-4501 and requesting the extension number or department desired. Some departments have their own 7-digit direct dial numbers and can be dialed directly. A listing of college extension numbers and telephone numbers for other college locations can be found in the college staff directory available through the Institutional Advancement Office. The staff directory also contains specific information about the use of the college's telephone system.

Coin-operated telephones are located at numerous places on campus for the use of students and the public.

SWITCHBOARD

The college switchboard is located in the Campus Services Building. A console switchboard attendant is on duty Monday through Thursday, between 7:30 a.m. and 8:30 p.m. and Friday from 7:30 a.m. to 6 p.m. Summer hours are 7:30 a.m. to 5:30 p.m. from Monday through Friday.

The console attendant is available for assistance with telephone calls and may provide further information on the telephone system itself.

TO REPORT TELEPHONE TROUBLE

In case of a telephone problem, call the Telephone Specialist at ext. 2565 or the switchboard attendant at "0" and describe the problem. The telephone company should not be contacted since that action may result in an unwarranted repair call by the telephone company. Any such charges associated with that call would then be charged against the department that placed the call.

Any telephone problem that occurs after hours and during weekends should be reported to Security/ Auxiliary Services at 746-8495.

DEPARTMENT TELEPHONE BILLING

Telephone service billings for each department are processed by the Campus Services Office. Billings are sent to each department monthly and appear in that month's departmental expense report as a cost item.

LONG DISTANCE CALLING

The College's telephone system has a long distance dialing feature known as least cost routing. With this feature, the system will send an outgoing long distance call over the cheapest route available at the time the call is being placed. Further information about the use of this feature may be obtained by calling the telephone specialist at ext. 2565.

Long-distance calls may be made from off campus locations by the use of a long distance credit card. Credit cards, available through Campus Services, are issued to a limited number of College staff who have frequent need for such service. These credit cards should not be used when dialing long distance calls from the main campus or from the Downtown Center.

Long-distance telephone calls shall be made for college business only.

TELEPHONE INSTALLATIONS

A request to install a new telephone or to change an existing telephone may be made by completing an inter-campus order/services form and sending it to the Campus Services Office. Staff are requested to contact Campus Services for any telephone changes or questions rather than call the telephone company directly.

EMPLOYEE EXTENSION NUMBER CHANGES

New staff members should report their names and telephone extension numbers to the console attendant to facilitate better service at the switchboard. Staff members who change their telephone extension numbers should also report these changes to the console attendant.

Vehicles Provided by the Institution (1)

WHO MAY DRIVE COLLEGE VEHICLES

Only designated persons may drive college vehicles. Supervisors of departments operating college vehicles have the responsibility to select and clear designated drivers. All drivers must be current full-time or part-time employees or full-time students. They must be 18 years of age or older and possess a valid driver's license.

All designated drivers and alternate drivers must have a good driving record. Therefore, prospective drivers (including applicants for employment which requires driving a college vehicle) must sign a consent form permitting the college to review their driver's license record.

The supervisor of the department responsible for administering the vehicle must arrange for driving record checks on all prospective drivers. A copy of the current consent form is attached.) Completed forms should be sent to the director of purchasing, who, after the insurance company review, will notify the department head of any person(s) who should not be allowed to drive college vehicles. The Purchasing Office will maintain a list of approved drivers, which is sent to the insurance company and to those department heads responsible for scheduling college vehicles. The list of drivers should be verified by the department heads, updated with current information (e.g., new driver's license expiration date, deleted drivers, etc.) and if necessary, returned with the corrections.

ALCOHOLIC BEVERAGE CONSUMPTION

Drinking or possession of alcoholic beverages in college vehicles is prohibited.

All designated and alternate drivers are prohibited from driving a college vehicle while under the influence of drugs or alcohol.

SAFETY PROCEDURES

All drivers should review the National Safety Council's defensive driving pamphlet before driving the vehicle. These pamphlets can be found in the glove compartment of each vehicle.

For college motor vehicles other than passenger cars, the college department responsible for the vehicle should ensure that all drivers have prior experience in driving the particular type vehicle. If not, they should be asked to demonstrate proficiency in driving the vehicle before being allowed to take it onto the open road.

All college vehicles used to travel off campus contain a safety kit which includes a fire extinguisher, emergency reflective triangles, and flares. Those college vehicles limited to on-campus usage contain fire extinguishers.

ACCIDENT PROCEDURES

When a driver is involved in an accident, he/she should utilize the orange accident procedure envelope found in the glove compartment of all college vehicles. In the event that the envelope is missing, they should do the following:

1. If any passengers are injured, see that they receive prompt medical attention.

2. Obtain names and addresses of all involved, including witnesses.

3. Briefly describe in writing how, when, and where the accident occurred and names of persons involved. Also draw a diagram.

4. If the accident occurs on campus or local emergency forces or medical facilities are involved, notify the Campus Safety and Security Office, which will investigate and also file a report.

5. Discuss the accident only with college persons responsible for the vehicle, with the police, Campus Safety and Security and their department head (if other than the one responsible for vehicle).

6. Immediately report the accident to the college department head responsible for the vehicle. The department head should then advise the director of purchasing (826-2444) who will notify the insurance company. Copies of all available reports should be promptly forwarded to the Purchasing Office.

DISCIPLINARY PROCEDURES FOR DRIVERS WITH POOR DRIVING RECORDS

After one incident that the college determines was preventable, the appropriate supervisor will issue a written warning to the driver stating that any future incidents will result in the suspension of college vehicle driving privileges.

The supervisor will notify and send a copy to the director of purchasing of any resulting suspension of driving privileges.

The director of purchasing will then remove the suspended driver from the list of approved drivers and make necessary notification(s).

MAINTENANCE AND REPAIR

It is the responsibility of the college department head or primary driver of college-owned or leased vehicles to contact Buildings and grounds department stockroom manager to arrange any necessary repairs, preregistration inspections, emission system inspections, and to request and coordinate scheduled appointments for preventive maintenance. Preventive maintenance requirements are:

Fall: Change oil and filter, lubricate, winterize, tune-up and a safety check (including tire inspection and rotation).

Spring: Change filter, fine tune-up, and a safety check.

The Stockroom Manager will select vendors to do pre-registration inspections, preventive maintenance, and required repairs.

The Stockroom Manager will contact the department head responsible for the vehicles and coordinate the scheduling of preregistration emission system inspections at the appropriate times.

Driver's License Check Consent Form

I do hereby consent to having my current driving record checked and the information obtained subject to periodic. review by the appropriate the college and insurance company personnel, I understand that such information is to be used to substantiate a satisfactory driving record required to drive college motor vehicles or those operated in support of college sanctioned activities.

Signature:_____ Date:_____

Name (please print)_____

Driver's License No. and State_____

Birth Date_____Driver's License Expiration Date_____

Social Security Number_____

Are you (please check one):

_____ faculty/staff _____ student _____ applicant for employment

Department_____

Update _____

New Driver _____

Vehicles Provided by the Institution (2)

DRIVER

Before a new vehicle is placed in service or an existing University vehicle is transferred to another department, an information and authorization sheet must be completed and signed by the individual responsible for the vehicle.

Drivers of all University vehicles must have valid State driver's licenses. All drivers of any University vehicle (including carts) must submit copies of their licenses to the office of the Associate Vice President of Business and Finance prior to operating University vehicles. A motor vehicle report will be obtained from the State Department of Motor Vehicles through the University's insurance broker. On the basis of that report, drivers will be approved to operate University vehicles. An update of that report will be obtained periodically thereafter. The authorization to drive University vehicles will be reviewed if warranted due to an individual's driving record.

PURCHASE/TITLE/LICENSE RENEWAL

The purchase of all vehicles will be coordinated through the Associate Vice President of Business and Finance in conjunction with the Purchasing Director. The University is eligible for certain commercial fleet discounts.

The title for all university automobiles will be held in the University's name as follows: "The University c/o Associate Vice President of Business and Finance." Original pink slips (ownership documents) will be maintained by the Associate Vice President of Business and Finance. The proposed disposition of University-owned vehicles will also be coordinated through that office.

The office of the Associate Vice President of Business and Finance will monitor and process all vehicle license renewals and forward annual University decals, registrations and proofs of insurance to the appropriate departments.

FINANCE

University vehicles are purchased rather than leased. The cost of vehicles is amortized over a four or five year period to the user department's expense account. A reserve for maintenance and repair is established for new vehicles at 25 percent of the cost of the vehicle; this surcharge is amortized with the purchase price.

Proposed charges to the reserve account should be submitted to the Associate Vice President for Business and Finance.

INSURANCE

All University vehicles (owned, courtesy, or presently leased) must be insured through the University. The Associate Vice President of Business and Finance will inform Risk Management Services of the acquisition and the disposal of vehicles, as well as maintain the current list of insured vehicles.

The University's insurance coverage extends to the employee driver and those to whom he or she has granted permission to drive the vehicle. Therefore, it is the employee driver's responsibility to control the use of the vehicle.

In the event of an accident, the driver should notify both the director of his or her department and the office of the Associate Vice President of Business and Finance. All vehicles used by University employees will be supplied with insurance information as well as instructions on required procedures in the event of an accident. This information should be maintained in the vehicle's glove compartment at all times.

In the event of an accident that results in damage to the vehicle, the employee's department in conjunction with the Purchasing Director must obtain three estimates for repair of the vehicle. The estimates will be reviewed and approved by the Associate Vice President of Business and Finance. No work should commence before that approval. Repair costs will be charged to the reserve account discussed in the above finance section.

The University may require that the employee driver (or his or her department) be responsible for payment of a $200 "deductible" in the event of a collision for which the University is held liable for damage to the University's vehicle or another vehicle or property. Similarly, when a vehicle is returned to the University after employee use, an inspection of its condition will be performed by the Associate Vice President of Business and Finance. If it is determined that damage has occurred in excess of normal wear and tear or that routine maintenance has not been performed, the employee driver will be held responsible for paying the deductible amount. The deductible serves to encourage an extra measure of care in the use of the vehicles.

MAINTENANCE

Drivers are responsible for routine and regular maintenance of assigned University vehicles. Vehicle repairs are reimbursable to the extent discussed above, as are the business-related costs of oil and gasoline. The business use of an automobile includes travel to off-campus sites while conducting University business or travel between the two campuses. It does not include costs associated with travel between an employee's residence and the University which are considered commuting expenses and are personal. (See personal use section below).

University purchases of oil and gasoline should be charged to the departmental expense account. Reimbursement will be based on the per gallon cost of gasoline and will depend on the cost at the time the expense was incurred. An assumption is made that University vehicles average 20 miles per gallon.

Records documenting vehicle maintenance should be maintained by the employee driver and returned to the University when use of the vehicle terminates. As discussed above, a reserve for vehicle repair and maintenance is available with proper approval. (See finance section above.)

PARKING DECALS/PARKING AND TRAFFIC CITATIONS

Tile office of the Associate Vice President of Business and Finance will distribute the parking decals for University vehicles to the individuals or departments to which the vehicles are assigned.

All citations issued by police or parking-enforcement agencies for moving or parking violations are the responsibility of the driver of the vehicle or the individual to whom the vehicle is assigned. Exceptions to this general rule related to charges for parking violations which are incurred directly as the result of University business may, under extenuating circumstances, be approved by the employee's divisional vice president and the Associate Vice President of Business and Finance.

Tickets issued on the University's campuses by the Department of Public Safety are also the responsibility of the individual operating the vehicle or the individual to whom the vehicle is assigned. Payment from University funds for the associated fines may, under extenuating circumstances, be approved by the divisional vice president and the Associate Vice President of Business and Finance.

Included in the information and authorization sheet which is completed by the driver of a University vehicle is the authorization to deduct all unsettled parking and traffic fines from the paycheck of the individual to whom the offending vehicle is assigned.

PERSONAL USE

Local use of a University vehicle as if it were a personal vehicle is allowed only by those drivers who have been permanently assigned a specific vehicle. Passengers are allowed in these cases. Vehicles assigned to departments/offices or pooled vehicles are to be used only for business purposes. Passengers unrelated to University business are prohibited in these cases. In no case is an assigned University vehicle to be used for personal vacation or personal out-of-state travel.

The office of the Associate Vice President of Business and Finance should be consulted about insurance coverage in the event that travel outside the country in connection with University business is contemplated.

The value of the personal use of a University-provided automobile is taxable income to the employee. Information regarding an employee driver's personal use of University vehicles will be requested annually by the University's Controller. Information related to the substantiation requirements for the business use of the vehicles has been distributed by the Controller's Office.